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federal register

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THURSDAY, SEPTEMBER 29, 1977



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Monday	Tuesday	Wednesday	Thursday	Friday
NRC	USDA/ASCS		NRC	USDA/ASCS
DOT/COAST GUARD	USDA/APHIS		DOT/COAST GUARD	USDA/APHIS
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DOT/OPSO	LABOR		DOT/OPSO	LABOR
	HEW/ADAMHA			HEW/ADAMHA
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	HEW/HRA			HEW/HRA
	HEW/HSA			HEW/HSA
	HEW/NIH			HEW/NIH
	HEW/PHS			HEW/PHS

Documents normally scheduled on a day that will be a Federal holiday will be published the next work day following the holiday.

Comments on this program are still invited. Comments should be submitted to the Day-of-the-Week Program Coordinator, Office of the Federal Register, National Archives and Records Service, General Services Administration, Washington, D.C. 20408.

ATTENTION: For questions, corrections, or requests for information please see the list of telephone numbers appearing on opposite page.

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presidential documents

Title 3—The President

PROCLAMATION 4526

National Employ the Handicapped Week, 1977

By the President of the United States of America

A Proclamation

America needs the talents and energies of all her citizens, including the physically and mentally handicapped. But many handicapped people have been kept from full participation in our society. To the handicaps they must overcome have been added the barriers of an environment constructed without them in mind, a lack of equal education, and exclusion from rewarding and useful employment.

In recent months, however, progress has been dramatic. New laws are promoting equality for handicapped people. The recent White House Conference on Handicapped Individuals stimulated plans for the future. New ideas in education, housing, jobs, and transportation are adding to the opportunities for handicapped people to be independent, to lead fuller lives and to contribute to society. In support of these goals, I have asked the heads of Executive departments and agencies to set an example for fair employment practices by demonstrating what can be done to make the fullest possible use of the abilities of qualified handicapped people.

To affirm our commitment to the handicapped, the Congress, by joint resolution of August 11, 1945, as amended (36 U.S.C. 155), has called for the designation of the first week in October of each year as National Employ the Handicapped Week.

NOW, THEREFORE, I, JIMMY CARTER, President of the United States of America, do hereby designate the week beginning October 2, 1977, as National Employ the Handicapped Week. I urge all Governors, Mayors, and other public officials, leaders in business and labor, and private citizens to take affirmative action to ensure equal employment opportunities for handicapped people and to join during this week and afterwards to work toward full equality in all aspects of American life.

IN WITNESS WHEREOF, I have hereunto set my hand this 27th day of September, in the year of our Lord nineteen hundred seventy-seven, and of the Independence of the United States of America the two hundred and second.

Jimmy Carter

[FR Doc.77-28842 Filed 9-27-77;3:20 pm]

rules and regulations

This section of the FEDERAL REGISTER contains regulatory documents having general applicability and legal effect most of which are keyed to and codified in the Code of Federal Regulations, which is published under 50 titles pursuant to 44 U.S.C. 1510.

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.

[3510–24]

Title 13—Business Credit and Assistance

CHAPTER III—ECONOMIC DEVELOPMENT ADMINISTRATION, DEPARTMENT OF COMMERCE

PART 307—TECHNICAL ASSISTANCE, RESEARCH AND INFORMATION

Subpart D—State and Local Economic Development Planning Grants

REQUIREMENTS FOR OBTAINING GRANTS

AGENCY: Economic Development Administration, Commerce.

ACTION: Final rule.

SUMMARY: This rule revises the regulations which set forth the requirements for obtaining State and local economic development planning assistance under one of the planning grant programs administered by EDA. The present regulations need to be revised because they fail to distinguish adequately between time of assistance available, and because they did not reflect certain changes made to the Public Works and Economic Development Act of 1965. This rule is intended to implement the amendments to the Act, to clarify the format of the regulations, and to make certain administrative changes.

DATES: Effective date: September 29, 1977. Comments by: October 31, 1977.

ADDRESSES: Send comments to: Assistant Scretary for Economic Development, U.S. Department of Commerce, Room 7800B, Washington, D.C. 20230.

FOR FURTHER INFORMATION CONTACT:

Information on regulations: James F. Marten, U.S. Department of Commerce, Room 7009, Washington, D.C. 20230. (202–377–5441).

SUPPLEMENTARY INFORMATION: This publication amends 13 CFR Part 307, Subpart D by revising the following regulations:

1. 13 CFR 307.51 is amended by modifying paragraphs (a) through (e) and redesignating paragraphs (c) through (e) as new 13 CFR 307.52. EDA is making these format changes to clarify the distinction between planning grants under section 302(a) of the Act to State and sub-State entities and grants under section 302(b) of the Act to economic development districts. As amended, new section 307.52, "Types of grants", describes the nature of the assistance which EDA offers under Subpart D.

2. 13 CFR 307.52(a)(1)(ii), as amended and redesignated, requires States to cooperate with their political subdivisions, cities and economic development districts in conducting their planning process. Section 307.52(a)(1)-(ii) also requires State plans resulting from this process to be consistent with the plans developed by these sub-State entities. EDA is making these changes in 13 CFR 307.52(a)(1)(ii) to conform to the amendment made by section 110 of Pub. L. 94–487.

3. The addition of a new 13 CFR 307.52 requires technical changes to current sections 307.52 through 307.58. Accordingly, these sections are redesignated as 13 CFR 307.53 through 307.59.

13 CFR 307.53, as redesignated, is amended by deleting the requirement in paragraph (a)(3) that cities and counties meet "EDA eligibility criteria." The requirement had reflected a policy decision to contain the number of applicants in view of the limited funds appropriated. EDA no longer believes this requirement is necessary and may serve to hinder the accomplishment of the broader objectives of the Act.

Redesignated § 307.53 is amended further by deleting the final six lines of paragraph (a)(4). This change is necessitated by a related change made to § 307.56(b), as redesignated and discussed below.

4. 13 CFR 307.55, as redesignated, is amended by modifying paragraph (a)(2) to emphasize that State planning assisted under this subpart must be part of continuing process. This rule in the past failed to inform applicants adequately that the State economic development planning must be an ongoing process of analysis, evaluation and reevaluation.

In addition, EDA amends 13 CFR 307.55(a) by adding a new paragraph (4). This new paragraph requires States to utilize their planning process in the recommendation of potential projects for funding under section 304 of the Act. EDA is adding this new paragraph to ensure that States utilize their planning process in determining which projects receive section 304 funds allocated to each State under 13 CFR Part 312.

EDA amends paragraph (c)(1) of redesignated 13 CFR 307.55 by requiring the chief executive officer of cities or counties receiving grants to certify that he has the authority to implement programs and projects resulting from the planning process. This amendment provides for uniform administration and will help to ensure that grantees coordinate all phases of their economic development planning.

Paragraph (c)(3) of redesignated § 307.55 is amended to follow the language of the statute more closely. Previously, EDA had required that the "primary emphasis" of planning assisted under this subpart be to reduce unemployment and increase incomes. While reducing unemployment and increasing incomes remain an important and integral part of planning assistance under this subpart, EDA now believes that the "primary emphasis" requirement is unnecessarily restrictive.

5. 13 CFR 307.56, as redesignated, is amended by deleting the final five lines of paragraph (b). Previously, these lines had prohibited the use of section 302 funds for preparation of overall economic development planning (OEDP) documents. This prohibition was put in the regulations to assure that section 302 funds did not supplant section 301(b) funds as required by section 302 of the Act. In administering the program, EDA has found that this prohibition has on occasion required a grantee to prepare separate economic development plans for planning assisted section 301(b) of the Act and for that assisted under section 302(a) of the Act. Since section 302 of the Act was intended to foster planning among all levels of government, EDA believes that the preparation of separate plans is unnecessary and impractical and may hinder the grantee's planning process. While section 302 assistance may not supplant section 301(b) assistance, the statute specifically provides that such assistance may be additional to section 301(b) assistance. The amendment to this paragraph is intended to provide the flexibility necessary to utilize section 302 funds to the fullest extent.

6. 13 CFR 307.57, as redesignated, is amended by adding new sections 307.57(a)(4) and 307.57(a)(5). 13 CFR 307.57(a)(4) implements the revision made to the Act by section 110 of Pub. L. 94–487 by requiring States to certify in their annual report the consistency of the State plan to other economic development plans made by sub-State entities.

§ 307.57(a)(5) requires States to describe how the planning process was used to develop projects submitted by the State for funding under section 304 of the Act. Similar to the revision made to 13 CFR 307.55(a)(4) as redesignated, this amendment will help to ensure that each State utilizes its planning process to the maximum extent.

13 CFR 307.57(b), as redesignated, is revised to clarify the reporting requirements for assistance extended to development districts under section 302(a) as opposed to section 302(b) of the Act.

Because these rules relate to the EDA grant and loan program, they are exempted from the procedures described in § 553 of the Administrative Procedure Act (5 U.S.C. 553). However, in the spirit of the public policy set forth in that Act, interested persons may submit written

suggestions regarding this amendment to the above address.

NOTE: EDA has determined that this document does not contain a major proposal requiring preparation of an Economic Impact Statement under Executive Order 11821, as amended by Executive Order 11949, and OMB Circular No. A-107.

Accordingly, 13 CFR 307, Subpart D is revised to read as follows:

Subpart D—State and Local Economic Planning Grants

Secs.

307.50 Purpose.
307.51 Objectives.
307.52 Types of grants.
307.53 Eligible applicants.
307.54 Submission of applications.
307.55 Application requirements.
307.56 Grant limitations.
307.57 Annual reports.
307.58 Coordination.
307.59 Requirements.

AUTHORITY: Sec. 701, Pub. L. 89-136, 79 Stat. 570 (42 U.S.C. 3211); Pub. L. 94-487, 90 Stat. 2331 (42 U.S.C. 3121).

§ 307.50 Purpose.

The purpose of this subpart is to set forth regulations pursuant to which eligible applicants may apply for and receive direct grants for economic development planning under section 302 of the Act.

§ 307.51 Objectives.

The primary objective of a planning grant under section 302 of the Act is to strengthen the economic development planning capability of States, cities, and other eligible sub-State entities in order to ensure a more productive use of available resources in reducing the effect of economic problems, particularly those resulting in high unemployment and low incomes.

§ 307.52 Types of grants.

Pursuant to section 302 of the Act, the Assistant Secretary may award planning grants of the following types:

(a) Planning grants under section 302 (a) of the Act.

(1) *State planning grants.*—(i) States shall undertake overall State economic development planning as part of a comprehensive planning process, to:

(A) Consider the provision of public works to stimulate and channel development, economic opportunities, and choices for individuals;

(B) Support sound land use;

(C) Enhance and protect the environment, including the conservation and preservation of open spaces and environmental quality;

(D) Provide public services; and

(E) Balance physical and human resources through the management and control of physical development.

(ii) This planning process shall be conducted cooperatively by the State, its political subdivisions, and the economic development districts located in whole or in part within the State. State plans resulting from the planning process shall be consistent to the fullest extent possible with local, redevelopment area, and economic development district plans. If a State plan is inconsistent with these other plans, it shall note the inconsistencies and justify them.

(2) *City and local planning grants.*—(i) The planning by cities, other political subdivisions, and sub-State planning and development organizations (including redevelopment areas and economic development districts) shall be a continuous process involving public officials and private citizens in:

(A) Analyzing local economies;

(B) Defining development goals; and

(C) Formulating and implementing a development program.

(ii) This planning process shall include systematic efforts to reduce unemployment and increase incomes.

(b) Planning grants to economic development districts under section 302(b) of the Act.

(1) *Professional service grant.* The Assistant Secretary may make grants under this paragraph to economic development districts to enable them to provide professional and technical assistance, other than by grants, to local governments within the districts.

(2) *Grants to carry out review procedures required by the Intergovernmental Cooperation Act.* The Assistant Secretary may award grants to economic development districts to enable them to carry out review procedures required under Title IV of the Intergovernmental Cooperation Act of 1968.

To receive assistance under this paragraph, the economic development district must be designated by the State to conduct this review.

§ 307.53 Eligible applicants.

(a) Eligible applicants under § 302(a) of the Act are:

(1) The governor of a State or an agency designated by him, and the chief executive officer of the District of Columbia, Puerto Rico, the Virgin Islands, Guam, American Samoa, and the Northern Mariana Islands.

(2) The chief officer of governing bodies of sub-State planning units, economic development districts, and redevelopment areas.

(3) The chief executive of cities and counties not located wholly within larger multi-county planning and development organizations receiving planning funds under section 301 of the Act.

(4) The chief executives of cities, counties, and redevelopment areas in multi-county organizations receiving funds under section 301 of the Act whose applications are endorsed by the Board of the multi-county organizations, and who demonstrate exceptional need for planning assistance beyond that provided through the multi-county organizations.

(5) Eligible applicants cited under this subpart, if the Assistant Secretary determines that planning assistance is necessary and other funds are not available to develop a plan required by Title IX of the Act.

(b) Eligible applicants under section 302(b) of the Act are the chief officer of a designated economic development district or, where a grant is made pursuant to the joint funding simplification program, a State or other applicant eligible under that program provided that such grant will be used solely to assist economic development districts.

(1) An economic development district must also be designated by the State or, where necessary, by the State and OMB, in order to qualify for assistance as an authorized A-95 reviewing agency.

§ 307.54 Submission of applications.

An initial request for assistance shall be submitted to the Assistant Secretary. If the Assistant Secretary approves the initial request, the applicant may submit an application.

§ 307.55 Application requirements.

An application shall indicate the scope of the proposed planning activity, and provide evidence that the grantee will meet the following requirements.

(a) Where the grantee is a State, the grantee shall ensure:

(1) That the grant shall be administered by the governor or by an agency he designates as responsible for the comprehensive economic development planning process.

(2) That an ongoing economic development planning process exists or will be established. This process shall be conducted cooperatively by the State, cities, other political subdivisions and economic development organizations. If the proposed planning activity is intended to result in a State plan, the planning process shall provide for the generation and application of mutually acceptable planning and programming criteria for ensuring the maximum possible consistency between the State plan and other local and district plans.

(3) That the results of the planning process shall be incorporated in the executive decisionmaking process in some formalized manner. The emphasis of the assistance, however, is on the planning process rather than the production of a plan.

(4) That the planning process shall be utilized in the recommendation of potential projects for funding under section 304 of the Act (13 CFR Part 312) in order to ensure that such projects are consistent with and contribute to Statewide development goals and strategies.

(b) Where the grantee is a sub-State planning district, the grantee shall ensure:

(1) That technical assistance provided by districts to local governments under section 302(b) of the Act shall increase their capabilities to participate in ongoing district planning programs.

(2) That districts funded under section 302(a) of the Act shall participate with the State in developing procedures for incorporating the goals of their ongoing economic development programs into the State's comprehensive planning process and for reflecting State goals and objectives in the district plans.

(c) Where the grantee is a city or county, the grantee shall ensure:

(1) That the grant shall be administered by the chief executive officer of a unit of government. This officer shall certify that he has authority to undertake broad planning activities, to develop a continuous planning process, and to implement the resulting programs and projects.

(2) That planning shall involve both public officials and private citizens. If no procedure exists for this involvement, a special planning committee of public and private citizens broadly representative of the community shall be established in the office of the Mayor or county executive.

(3) That planning shall include a systematic effort to reduce unemployment and increase incomes.

(4) That a systematic approach shall be taken to analyze the local economy, define development goals, determine project opportunities, and formulate and implement a development program. OEDP or other guidelines for areas may be used in accomplishing this requirement.

(5) That, if a city or county is located in a larger economic development planning unit, activities funded with the grant shall be coordinated with the larger unit.

§ 307.56 Grant limitations.

Planning grants shall be made on terms established by the Assistant Secretary subject to the following limitations:

(a) Grants may not cover the costs of work already performed or of services already provided.

(b) Grants under section 302 may be provided in addition to assistance available under section 301(b) of the Act, but may not supplant that assistance.

(c) A planning grant may not exceed 75 percent of the total amount of funds required for the project.

(d) No Federal funds may be included in the 25 percent non-Federal share.

(e) In determining the amount of the non-Federal share, the Assistant Secretary shall give consideration to contributions both in cash and in-kind.

(f) This assistance shall be provided in accordance with the review procedure required under Title IV of the Intergovernmental Cooperation Act of 1968, as amended, and shall be used in conjunction with any other available Federal planning assistance to further the comprehensive nature of this planning program, and to assure the efficient utilization of all available planning resources in the achievement of the objectives of the grant.

(g) Grantees will conform to EDA financial requirements including those requirements promulgated in Federal Management Circular (FMC) 74-7 (OMB Circular A-102).

§ 307.57 Annual reports.

Grant recipients shall submit to the Assistant Secretary an annual report 60 days before the anniversary of their grants. The report shall include:

(a) *States.* (1) How requirements in section 307.55 have been met.

(2) A review and an evaluation of the planning process supported, and the program activities undertaken, in relation to the specific goals and objectives described in the grant agreement.

(3) Policy, planning and development documents that have resulted from the planning activities assisted under this subpart.

(4) Certification to the Assistant Secretary that any plan prepared with assistance under this subpart considered all local, redevelopment area, and economic development district plans and

(i) Is consistent with these local, redevelopment area, and economic development district plans, or

(ii) Is inconsistent with them, with each inconsistency noted and justified.

(5) A description of how the planning process was used in the development of projects submitted for section 304 funding, and of how any such projects relate to the State's development strategy.

(b) *Sub-State Planning Districts and Economic Development Districts.* (1) § 307.52(a)(2) grants.

(i) A description of the cooperative procedures established to include district information in the State planning process;

(ii) The planning information exchanged with the State and other districts, and an evaluation of the effect of this exchange on the district's ability to achieve its development goals.

(iii) A review and an evaluation of the planning process supported and program activities undertaken in relation to the specific goals and objectives described in the grant agreement.

(2) § 307.52(b) grants. (i) For grants under § 307.52(b)(1), a description of the nature of the professional and technical assistance provided to local governments and a documentation of the results.

(ii) For grants under § 307.52(b)(2), a description of the A-95 review process funded under 302(b) of the Act and improvements made in relating it to the State planning process.

(c) *Cities and Counties.* A review and an evaluation of the planning process supported and program activities undertaken in relation to the specific goals and objectives described in the grant agreement.

§ 307.58 Coordination.

The Secretary, through the Assistant Secretary for Economic Development, shall coordinate his activities in making grants under this subpart with the Title V Regional Commissions and the Appalachian Regional Commission acting through the Federal and State Cochairman. Where a project is to be located wholly or partially within the boundaries of a Title V or the Appalachian region, or is of national or regional significance, the Federal and State Cochairmen shall be furnished notice of project activity during the early phases of development and be kept advised of significant developments through the application review and final grant process.

§ 307.59 Requirements.

13 CFR Part 309, as amended, applies to planning grants under this subpart.

Dated: September 16, 1977.

ROBERT HALL,
Assistant Secretary for Economic Development.

[FR Doc.77-28699 Filed 9-28-77;8:45 am]

[4910-13]

Title 14—Aeronautics and Space

CHAPTER I—FEDERAL AVIATION ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

[Docket No. 15532; Amdt. 21-45]

PART 21—CERTIFICATION PROCEDURES FOR PRODUCTS AND PARTS

Issuance of Special Flight Permits With a Continuing Authorization to Air Taxi Operators of Large Aircraft

AGENCY: Federal Aviation Administration (FAA), DOT.

ACTION: Final rule.

SUMMARY: This amendment provides for the issuance of special flight permits with a continuing authorization to air taxi operators of large aircraft. In the past, these operators have been required to apply for special flight permits individually before operating their large aircraft, that might not meet applicable airworthiness requirements but are capable of safe flight, to a base where maintenance or alterations are to be performed. Since air taxi operators of large aircraft must maintain their large aircraft under a continuous airworthiness maintenance program and their operations must be covered under operations specifications, the requirement that these operators must apply for special flight permits individually is not necessary.

EFFECTIVE DATE: October 28, 1977.

FOR FURTHER INFORMATION CONTACT:

Raymond E. Ramakis, Regulatory Projects Branch, Safety Regulations Division, Flight Standards Service, Federal Aviation Administration, 800 Independence Avenue SW., Washington, D.C. 20591, telephone 202-755-8716.

SUPPLEMENTARY INFORMATION: Section 21.197(c) provides, in pertinent part, for the issuance of a special flight permit with a continuing authorization to Part 121 and 127 certificate holders. Special flight permits, with continuing authorizations, that are issued pursuant to § 21.197(c), are included in the certificate holder's operations specifications, along with the conditions and limitations associated with the authorization. The purpose of § 21.197(c) is to eliminate the unnecessary burden, on Part 121 and 127 certificate holders and the FAA, of individually dealing with each of a relatively large number of special flight permits that those operators need for ferrying aircraft to bases where maintenance can be performed. By virtue of the continu-

ous airworthiness maintenance program used by these operators and their operations specifications, procedures have been established to provide for the issuance of special flight permits with continuing authorizations for such ferry flights while ensuring that the flights are conducted safely.

Air taxi operators of large aircraft are required by § 135.2 to comply with the certification and operation requirements for supplemental air carriers as set forth in Part 121, unless compliance with the Part 121 rules applicable to domestic or flag carriers is required under specified circumstances. In any event, large aircraft operated under the provision of § 135.2 must be maintained under a continuous airworthiness maintenance program and operations conducted under § 135.2 must be covered in the certificate holder's operations specifications as provided in Part 121. Therefore, the reasons for providing for the issuance of special flight permits with continuing authorizations to Part 121 and 127 certificate holders are equally applicable to air taxi operators operating under the provisions of § 135.2 with respect to their large aircraft.

This amendment is based on a notice of proposed rulemaking (Notice No. 76–8) published in the FEDERAL REGISTER on April 5, 1976 (41 FR 14392), which proposed to provide for the issuance of special flight permits with a continuing authorization to air taxi operators of large aircraft. That notice invited comment by all persons interested in the making of the proposed rule. All interested persons have been afforded an opportunity to participate in the making of this amendment, and due consideration has been given to all matter presented. Three commentators responded to Notice 76–8, none of which expressed disapproval of the intent of the proposal. However, one commentator suggested that rather than issuing a continuing authorization to operators, the FAA should amend the regulation to allow such operations without the necessity of obtaining a special permit. The FAA does not agree with this proposed change since the aircraft involved may not meet airworthiness requirements and special operating restrictions may be necessary which would be covered in special flight permits. This amendment is the same as proposed in Notice 76–8.

The principal authors of this document are Mr. H. Keyzer-Andre, Flight Standards Service, and Mr. Phillip Kolczynski and Mr. Samuel Podberesky, Office of the Chief Counsel.

ADOPTION OF AMENDMENT

Accordingly, Part 21 of the Federal Aviation Regulations (14 CFR Part 21) is amended effective October 28, 1977, by revising § 21.197(c) to read as follows:

§ 21.197 Special flight permits.

* * * * *

(c) Upon application, as prescribed in § 121.79 or § 127.27 of this chapter, a special flight permit with a continuing authorization may be issued, for aircraft that may not meet applicable airworthiness requirements but are capable of safe flight, for the purpose of flying aircraft to a base where maintenance or alterations are to be performed. The permit issued under this paragraph may be issued to—

(1) Part 121 or 127 certificate holders; or

(2) Air taxi operators conducting operations with large aircraft under the provisions of § 135.2 of this chapter, for the aircraft used in those operations.

The permit issued under this paragraph is an authorization, including any conditions and limitations for flight, which is set forth in the certificate holder's operations specifications.

(Secs. 313(a), 601, 603, 604, Federal Aviation Act of 1958, as amended, (49 U.S.C. 1354(a), 1421, 1423, 1424); sec. 6(c), Department of Transportation Act (49 U.S.C. 1655(c)).)

NOTE.—The Federal Aviation Administration has determined that this document does not contain a major proposal requiring preparation of an Economic Impact Statement under Executive Order 11821, as amended by Executive Order 11949, and OMB Circular A–107.

Issued in Washington, D.C., on September 21, 1977.

LANGHORNE BOND,
Administrator.

[FR Doc.77–28605 Filed 9–28–77;8:45 am]

[4910–13]

[Docket No. 77–GL–4, Amdt. 39–3046]

PART 39—AIRWORTHINESS DIRECTIVES

Enstrom Helicopters Models F28, F28A, F28C, 280, and 280C

AGENCY: Federal Aviation Administration (FAA), DOT.

ACTION: Final rule.

SUMMARY: This amendment supersedes an existing airworthiness directive (AD) applicable to Enstrom Helicopters Models F28, F28A, F28C, 280, and 280C. In place of repetitive inspections, this directive requires the replacement of the tail rotor spindle P/N 28–15202 with a new spindle or a manufacturer-reworked spindle within 50 hours time in service but not later than six months calendar time, whichever occurs first. The new directive retains the requirement for the installation of strike tabs on the tail rotor blades.

EFFECTIVE DATE: October 6, 1977. Compliance schedule—As prescribed in body of AD and was effective for all recipients of the airmail letter dated August 8, 1977, as amended by airmail letter dated August 22, 1977, upon receipt thereof.

FOR FURTHER INFORMATION CONTACT:

Joseph Snitkoff, Aerospace Engineer, Airframe Section, AGL–212, Federal Aviation Administration, Great Lakes Region, 2300 East Devon Avenue, Des Plaines, Ill. 60018, telephone 312–694–4500, ext. 424.

SUPPLEMENTARY INFORMATION: By airmail letter dated August 8, 1977, an airworthiness directive was adopted and made effective immediately as to all known U.S. operators of Enstrom helicopters. The directive supersedes AD 77–04–04 Amendment 39–2839 (42 FR 10841) and required replacement, within 10 hours time in service, of tail rotor spindle P/N 28–15202 with a new spindle P/N 28–15202–13 or a manufacturer-reworked spindle, which was to be identified by an 8 character serial number acid-etched on the outside of the spindle center section on all Enstrom helicopter. This action was prompted in response to a failure of a tail rotor spindle inspected in accordance with AD 77–04–04. The superseded AD included the requirement for installation of strike tabs P/N 28–17308 extending forward on tle tail rotor balancing screw which is also a requirement of this directive. After issuing the airmail letter dated August 8, 1977, the FAA determined that the tail rotor assembly involved in the failure, which prompted the letter, had been reassembled with one set of bearings reversed, causing a significant amplification of the normal loads. In recognition of this circumstance, the FAA amended the letter with an airmail letter dated August 22, 1977, to increase the replacement time of the tail rotor spindle to 50 hours time in service or six calendar months, whichever occurs first.

Since it was found that immediate corrective action was required, notice and public procedure thereon was impracticable and contrary to the public interest and good cause existed for making the airworthiness directive effective immediately as to all known U.S. operators of Enstrom helicopters by individual airmail letters dated August 8, 1977, as amended on August 22, 1977. These conditions still exist and the airworthiness directive is hereby published in the FEDERAL REGISTER as an amendment to § 39.13 of Part 39 of the Federal Aviation Regulation to make it effective as to all persons.

In accordance with Departmental Regulatory Reform, dated March 23, 1976, it has been determined that the expected impact of this regulation is so minimal that it does not warrant an evaluation.

DRAFTING INFORMATION

The principal authors of this document are Norman B. Martenson and Walter F. Horn, Engineering and Manufacturing Branch, and Hays Hettinger, Office of the Regional Counsel.

ADOPTION OF THE AMENDMENT

Accordingly, pursuant to the authority delegated to me by the Administrator, § 39.13 of Part 39 of the Federal Aviation Regulations (14 CFR 39.13) is amended by adding the following new airworthiness directive:

ENSTROM. Applies to Enstrom Models F28, F28A, F28C, 280 and 280C helicopters certificated in all categories with a 3.3 inch tail rotor blade with spindle P/N 28–15202. Within the next 50 hours time in service or six (6) months calendar time, whichever occurs first, accomplish the following unless already complied with:

1. Replace tail rotor spindle P/N 28-15202 with a new spindle P/N 28-15202-13 or a manufacturer-reworked spindle which may be identified by an eight (8) character serial number acid-etched on the outside of the spindle center section. Reference should be made to Enstrom Maintenance Manual Section 15 for disassembly and reassembly instructions. Special care should be taken to have the three bearing stack positioned with the closed side toward the hub and the retaining nut properly torqued to 35-40 foot-pounds and safetied.

2. Install strike tabs P/N 28-17308 extending forward on the blade leading edge under the outer balancing screw. (This supersedes Amendment 39-2839 (42 FR 10841) AD 77-04-04.)

This amendment is effective October 6, 1977, and was effective for all recipients of the airmail letter dated August 8, 1977, as amended by airmail letter dated August 22, 1977, upon receipt thereof.

NOTE.—The Federal Aviation Administration has determined that this document does not contain a major proposal requiring preparation of an Economic Impact Statement under Executive Order 11821, as amended by Executive Order 11949, and OMB Circular A-107.

(Secs. 313(a), 601, 603, Federal Aviation Act of 1958, as amended, (49 U.S.C. 1354(a), 1421, 1423); sec. 6(c), Department of Transportation Act (49 U.S.C. 1655(c)); 14 CFR 11.89.)

Issued in Des Plaines, Ill., on September 19, 1977.

LEON C. DAUGHERTY,
Acting Director,
Great Lakes Region.

[FR Doc.77-28606 Filed 9-28-77;8:45 am]

[Docket No. 76-GL-15, Amdt. 39-3043]

PART 39—AIRWORTHINESS DIRECTIVES

Enstrom Helicopter Models F-28, F-28A, and 280

AGENCY: Federal Aviation Administration (FAA), DOT.

ACTION: Final rule.

SUMMARY: This amendment amends an existing Airworthiness Directive (AD), AD 76-17-08, applicable to Enstrom Helicopter Models F-28, F-28A, and 280 by establishing chronological and service time limits, after which all unmodified main rotor shafts must be removed from service. The amendment is needed because the FAA has determined through service experience that main rotor shaft crack sites may be introduced by allowing the shafts to remain in service for extended periods without modification.

DATES: Effective, October 4, 1977. Compliance schedule. As prescribed in the body of the AD.

ADDRESSES: The applicable service bulletin may be obtained from: The Enstrom Helicopter Corporation, Menominee County Airport, P.O. Box 277, Menominee, Mich. 49858. A copy of the service bulletin is contained in the Rules Docket (AGL-7), Docket No. 76-GL-15, Federal Aviation Administration, Office of the Regional Counsel, 2300 East Devon Avenue, Des Plaines, Ill. 60018; and at FAA Headquarters, Room 916, 800 Independence Avenue, SW., Washington, D.C. 20591.

FOR FURTHER INFORMATION CONTACT:

M. J. Walker, Engineering and Manufacturing Branch, Flight Standards Division, AGL-214, Federal Aviation Administration, 2300 East Devon Avenue, Des Plaines, Ill. 60018, telephone 312-694-4500, extension 308.

SUPPLEMENTARY INFORMATION: This rule amends Amendment 39-2700, 41 FR 36015, AD 76-17-08 which currently requires periodic inspection of the main rotor shafts on Enstrom Helicopter Models F-28, F-28A, and 280 for tool marks or other discontinuities which might promote fatigue cracking of the shafts, and provides for the discontinuation of the inspection following the rework of the main rotor shafts by the manufacturer. Since the issuance of AD 76-17-08, the FAA has determined through service experience that corrosion may develop in the critical radius of unmodified shafts which remain idle for prolonged periods. This corrosion could eventually induce fatigue cracking. In that the inspection required by AD 76-17-08 does not address this situation, the FAA is amending Amendment 39-2700 to limit both the chronological and service time of the unmodified shafts, while retaining the inspection criteria set forth in AD 76-17-08.

Since a situation exists that requires immediate adoption of this regulation, it is found that notice and public procedure hereon are impractical and good cause exists for making this amendment effective in less than 30 days.

DRAFTING INFORMATION

The principal authors of this document are M. J. Walker, Flight Standards Division, Great Lakes Region, and H. V. Hettinger, Office of the Regional Counsel, Great Lakes Region.

ADOPTION OF THE AMENDMENT

Accordingly, and pursuant to the authority delegated to me by the Administrator, § 39.13 of Part 39 of the Federal Aviation Regulations (14 CFR 39.13) is amended by amending Amendment 39-2700, 41 FR 36015, AD 76-17-08 as follows:

(1) By changing paragraph F to read: "Within the next 200 hours time in service or six months after the effective date of this amendment, whichever occurs first, remove main rotor shaft from service or return gearbox and shaft to Enstrom Helicopter Corporation for modification in accordance with Enstrom Service Directed Bulletin No. 0036"; and

(2) By adding a new paragraph G to read: "Repetitive inspections of paragraphs B and C above may be discontinued after main rotor shaft modification in accordance with Enstrom Service Directed Bulletin No. 0036."

This amendment becomes effective: October 4, 1977.

(Secs. 313(a), 601, 603, Federal Aviation Act of 1958, as amended (49 U.S.C. 1354(a), 1421, 1423); sec. 6(c), Department of Transportation Act (49 U.S.C. 1655(c)); 14 CFR 11.89.)

NOTE.—The Federal Aviation Administration has determined that this document does not contain a major proposal requiring preparation of an Economic Impact Statement under Executive Order 11821, as amended by Executive Order 11949, and OMB Circular A-107.

Issued in Des Plaines, Ill., on September 16, 1977.

JOHN M. CYROCKI,
Director, Great Lakes Region.

[FR Doc.77-28043 Filed 9-28-77;8:45 am]

[4910-13]

[Docket No. 77-GL-1, Amdt. 39-3044]

PART 39—AIRWORTHINESS DIRECTIVES

McCauley Propellers Model D2AF34C56-() and D2AF34C61-() Series Propellers

AGENCY: Federal Aviation Administration (FAA), DOT.

ACTION: Final rule.

SUMMARY: This amendment adopts a new Airworthiness Directive (AD) which replaces AD 68-8-4. The new AD requires periodic inspection of the McCauley Model D2AF34C56-() and D2AF34C61-() series propellers. The AD is needed to detect cracks and prevent failures of the hub which could result in separation of the blade(s). Since this condition is likely to exist or develop in other propellers of the same design, the Airworthiness Directive requires periodic inspection of the propeller hubs for fatigue cracking until replaced by McCauley oil-filled hubs containing a dyed oil crack detection system. Also, the AD requires retirement of the D2AF34C56-() series propellers at 1200 hours time in service.

EFFECTIVE DATES: October 6, 1977. Compliance schedule—As prescribed in the body of the AD.

ADDRESSES: Information relating to the service document referenced in the body of the AD may be obtained from McCauley Accessory Division, Cessna Aircraft Co., Box 7, Roosevelt Station, Dayton, Ohio 45417.

Copies of the service information incorporated in this AD are contained in the Rules Docket, Office of the Regional Counsel, 2300 East Devon Avenue, Des Plaines, Ill. 60018; and at FAA Headquarters, Room 916, 800 Independence Avenue SW., Washington, D.C. 20591.

FOR FURTHER INFORMATION CONTACT:

Henry L. Weiss, Engineering and Manufacturing Branch, Flight Standards Division, AGL-214, Federal Aviation Administration, 2300 East Devon Avenue, Des Plaines, Ill. 60018; telephone (312-694-4500, extension 308).

SUPPLEMENTARY INFORMATION: Amendment 39-589 (33 FR 6083), AD 68-8-4, as revised by Amendment 39-604 (33 FR 7751), requires initial and peri-

odic inspection of certain McCauley Model D2AF34C56–() and D2AF34C61–() series hubs for cracks, and replacement as necessary. The above inspections were no longer required when the propellers were equipped with McCauley D2AF34C61–J or subsequent model hubs. The latter hub(s) incorporated certain design improvements intended to decrease fatigue type failures.

A proposal to amend Part 39 of the Federal Aviation Regulations was published in the (42 FR 5703), January 31, 1977, due to service experience. The proposal which requires further periodic inspections of the affected propeller hubs was issued in conjunction with the National Transportation Safety Board's Recommendations of September 21, 1976. These recommendations were based in part on NTSB's metallurgical laboratory examination of several failed hubs, including a D2AF34C61–XM model, which incorporated the aforementioned design improvements. Therefore, the FAA has determined an additional safeguard be provided by the introduction of a red-dyed oil into the hub which will warn the operator of hub cracking. The repetitive inspections of such hubs are no longer required if they are modified to, or replaced by McCauley oil-filled hubs.

Interested persons have been afforded an opportunity to participate in the making of the amendment. Only one written comment was received about the proposal. On the basis of the information submitted, the Cessna T337, and REIMS F337, FT337 aircraft were added to the applicability statement, since some of these aircraft are also equipped with the affected propellers.

Also, some other minor changes were made; namely, the phrase, "or later Federal Aviation Administration approved revisions," was added after the references to the McCauley Service Bulletin, Manual, and Letter. Furthermore, the applicable propeller model designations were amplified and clarified by a footnote.

In accordance with Departmental Regulatory Reform, dated March 23, 1976, we have determined that the expected impact of this final regulation is so minimal that it does not warrant an evaluation.

DRAFTING INFORMATION

The principal authors of this document are H. L. Weiss, Flight Standards Division, Great Lakes Region, and J. T. Brennan, Office of the Regional Counsel, Great Lakes Region.

ADOPTION OF THE AMENDMENT

Accordingly, and pursuant to the authority delegated to me by the Administrator, § 39.13 of the Federal Aviation Regulations (14 CFR 39.13) is amended by adding the following new Airworthiness Directive:

MCCAULEY PROPELLERS. Applies to the following two-bladed, constant speed and full feathering propeller models installed on but not limited to rear engine of Cessna Model 336, 337, T337; and REIMS Model F337, FT337 series aircraft:

D2AF34C56, D2AF34C56–A, D2AF34C56–B, D2AF34C56–C, D2AF34C–56–E, D2AF34C56–P, D2AF34C56–AP, D2AF34C56–BP, D2AF34C56–CP, D2AF34C56–DP, D2AF34C56–EP, D2AF34–C61, D2AF34C61–A, D2AF34C61–E, D2AF34C–61–J, D2AF34C61–K, D2AF34C61–L, D2AF34C–61–M, D2AF34C61–N, D2AF34C61–NKM, D2–AF34C61–XM, D2AF34C61–AM, D2AF34C61–EM, D2AF34C61–JM, D2AF34C61–KM, D2AF–34C61–LM.

NOTE.—()-Parenthesis following hub model designations cited below, indicate change letters stamped at end of model designation. Some models have one or more letters, others have none.

Compliance required as indicated, unless already accomplished. To detect propeller hub cracks and prevent possible failure, accomplish the following:

(a) Models D2AF34C56-() and D2AF34C61-() series listed above.

(1) Propeller hubs with less than 500 hours time in service, inspect in accordance with paragraph (d)(2) within 525 hours total time in service and reinspect in accordance with paragraph (d)(2) every 100 hours time in service from last inspection.

(2) Propeller hubs with 500 or more but less than 1200 hours time in service, inspect in accordance wtih paragraph (d)(2) within the next 25 hours time in service after the effective date of this AD and reinspect in accordance with paragraph (d)(2) every 100 hours time in service from last inspection.

(b) Model D2AF34C56-() series listed above. Propeller hubs with 1200 or more total hours in service, or whose total time in service is unknown, remove from service and replace in accordance with paragraph (d)(1) within the next 25 hours in service after the effective date of this AD.

(c) Model D2AF34C61-( ) series listed above. Propeller hubs with 1200 or more hours time in service or whose total time in service is unknown, inspect in accordance with paragraph (d)(3) within the next 50 hours time in service after the effective date of this AD unless already accomplished within the last 300 hours time in service and reinspect in accordance with paragraph (d)(3) every 300 hours time in service from the last inspection.

(d) Action Required. (1) Remove propeller from the aircraft, disassemble, inspect components and replace hub with an oil-filled Model D2AF34C61–XMO, –AMO, –EMO, –JMO, –KMO, –LMO, –NKMO, –MO, –NO, or –O in accordance with McCauley Service Bulletin No. 123 dated February 15, 1977 and Service Manual 710930, or later Federal Aviation Administration approved revisions.

(2) Inspect all external surfaces of propeller hub for cracks by dye penetrant method. Replace before further flight any cracked hub with a Model D2AF34C61 series oil-filled hub as in paragraph (d)(1).

(3) Remove propeller from aircraft and disassemble. Inspect all external and internal hub surfaces including retention threads for cracks using dye penetrant method in accordance with McCauley Service Letter 1974–3 dated March 29, 1974, or later Federal Aviation Administration approved revisions. Replace before further flight any cracked hub with a Model D2AF34C61 series oil-filled hub as in paragraph (d)(1).

(e) Exemption. The foregoing inspections may be discontinued after replacement of Model D2AF34C56–() or D2AF34C61–() series hubs with McCauley oil-filled hubs as in paragraph (d)(1).

(McCauley Service Bulletin No. 88 also pertains to this subject.)

The manufacturer's specifications and procedures identified and described in this directive are incorporated herein and made a part hereof pursuant to 5 U.S.C. 552(a)(1). All persons affected by this directive who have not already received these documents from the manufacturer may obtain copies upon request to McCauley Accessory Division, Cessna Aircraft Company, Box 7, Roosevelt Station, Dayton, Ohio 45417. These documents may also be examined at the Great Lakes Regional Office, 2300 East Devon Avenue, Des Plaines, Illinois 60018, and at FAA Headquarters, 800 Independence Avenue, SW., Washington, D.C. 20591. A historical file on this AD which includes the incorporated material in full is maintained by the FAA at its headquarters in Washington, D.C. and at the Great Lakes Region.

This supersedes Amendment 39–589 (33 FR 6083), AD 68–8–4, as amended by Amendment 39–604 (33 FR 7751).

This amendment becomes effective: October 6, 1977.

(Secs. 313(a), 601, 603, Federal Aviation Act of 1958, as amended (49 U.S.C. 1354(a), 1421, 1423); sec. 6(c) Department of Transportation Act (49 U.S.C. 1655(c)); 14 CFR 11.89.)

NOTE.—The Federal Aviation Administration has determined that this document does not contain a major proposal requiring preparation of an Economic Impact Statement under Executive Order 11821, as amended by Executive Order 11949, and OMB Circular A–107.

Issued in Des Plaines, Ill., on September 19, 1977.

LEON C. DAUGHERTY,
Acting Director,
Great Lakes Region.

NOTE.—The incorporation by reference in the preceding document was approved by the Director of the Federal Register on June 19, 1967.

[FR Doc.77–28608 Filed 9–28–77;8:45 am]

[4910–13]

[Docket No. 17055; Amdt. 39–3047]

PART 39—AIRWORTHINESS DIRECTIVES

Rolls Royce Dart Engines

AGENCY: Federal Aviation Administration (FAA), DOT.

ACTION: Final rule.

SUMMARY: This amendment adopts a new airworthiness directive (AD) which requires functional testing and overhaul of the low torque switch assembly on Rolls Royce Dart engines to prevent the possible occurrence of delays in propeller auto-feathering which could result in the inability to attain minimum climb performance during takeoff with one engine inoperative. There have been reports of propeller low torque switch diaphragms cracking in service.

EFFECTIVE DATE: October 28, 1977.

ADDRESSES: The applicable service bulletin may be obtained from:

Rolls Royce, Ltd., P.O. Box 31, Derby DE 2 8 BJ, England.

A copy of the applicable service bulletin is contained in the Rules Docket, Rm. 916, 800 Independence Avenue SW., Washington, D.C. 20591.

FOR FURTHER INFORMATION CONTACT:

D. C. Jacobsen, Chief, Aircraft Certification Staff, AEU–100, Europe, Africa, and Middle East Region, Federal Aviation Administration, c/o American Embassy, Brussels, Belgium, Tel. 513.38.30.

SUPPLEMENTARY INFORMATION: A notice proposing to amend Part 39 of the Federal Aviation Regulations to require functional testing and overhaul of the low torque switches was published in the FEDERAL REGISTER at 42 FR 38388 on July 28, 1977. The proposal was prompted by reports of cracking in low torque switch diaphragms on Rolls Royce Dart engines that could cause a potentially hazardous delay in auto-feathering of the propeller that could result in the inability to attain minimum climb performance during takeoff with one engine inoperative.

Interested persons have been afforded an opportunity to participate in the making of the amendment. No objections were received. Accordingly, the proposal is adopted without change.

The principal authors of this document are R. E. Follensbee, Western Region, R. F. Nugent and F. H. Kelley, Flight Standards Service, and S. Podberesky, Office of the Chief Counsel.

ADOPTION OF AMENDMENT

Accordingly, pursuant to the authority delegated to me by the Administrator, § 39.13 of the Federal Aviation Regulations (14 CFR 39.13) is amended by adding the following new airworthiness directive:

ROLLS ROYCE AERO, LTD. Applies to Dart Engines Series 506, 510, 511, 514, 525, 526, 527, 528, 529, 531, 532, 542–4, and 542–10 installed on, but not necessarily limited to, Viscount 744, 745D and 810, Armstrong Whitworth AW–650 series 101, Nihon YS–11, Convair 600 and 640, Handley Page Herald, Fokker F.27, Grumman Gulfstream I, and Hawker Siddeley 748 Series airplanes.

Compliance is required as indicated, unless already accomplished.

To prevent snap diaphragm cracking on propeller low torque switches and potentially hazardous delay of propeller auto-feathering, accomplish the following:

(a) Within the next 1,500 hours engine time or 6 months in service after the effective date of this AD, whichever occurs first, inspect and functionally test the propeller low torque switches in accordance with paragraphs 4.A. and 4.B. of Rolls Royce Service Bulletin No. Da 61–12, dated May 1976, or an equivalent approved by the Chief, Aircraft Certification Staff, FAA, Europe, Africa, and Middle East Region, A.P.O. New York, N.Y. 09667, (hereinafter referred to as R.R.–SB or FAA-approved equivalent). If a switch is found to be defective during an inspection or functional test required by this paragraph, comply with paragraph (b) of this AD, for that switch, before the switch is returned to service.

(b) Within the next 4,000 hours engine time or 1 year in service after the effective date of this AD, whichever occurs first, overhaul all propeller low torque switches in accordance with the procedures of paragraph 4.C. of R.R.-SB or FAA-approved equivalent.

This amendment becomes effective October 28, 1977.

(Secs. 313(a), 601, 603, Federal Aviation Act of 1958, as amended, (49 U.S.C. 1354(a), 1421, 1423); sec. 6(c), Department of Transportation Act (49 U.S.C. 1655(c)); 14 CFR 11.89)

NOTE.—The Federal Aviation Administration has determined that this document does not contain a major proposal requiring preparation of an Economic Impact Statement under Executive Order 11821, as amended by Executive Order 11949, and OMB Circular A–107.

Issued in Washington, D.C., on September 20, 1977.

J. A. FERRARESE,
Acting Director,
Flight Standards Service.

[FR Doc.77–28603 Filed 9–28–77;8:45 am]

[4910–13]

[Docket No. 77–NE–18; Amdt. 39–3045]

PART 39—AIRWORTHINESS DIRECTIVES

Sikorsky Model S–64E and S–64F Helicopters

AGENCY: Federal Aviation Administration (FAA), DOT.

ACTION: FEDERAL REGISTER publication of telegraphic airworthiness directive.

SUMMARY: This amendment publishes a new Airworthiness Directive (AD) which was issued by telegram to operators of S–64 helicopters on September 9, 1977. The Airworthiness Directive was issued to require a boroscope inspection for cracks of the S–64 main transmission last stage planetary carrier plate and a daily check of the oil filter for magnesium chips. The AD also retires all plates with 2000 hours time in service after October 30, 1977.

EFFECTIVE DATE: September 29, 1977 (Upon receipt of telegraphic AD for all operators which received notice by telegraphic AD). Compliance schedule—As prescribed in the body of the AD.

ADDRESSES: To obtain copies of the service bulletin referenced in the AD, contact Sikorsky Aircraft, Division of United Technologies Corp., Stratford, Conn. 06602.

FOR FURTHER INFORMATION CONTACT:

Harold W. Ferris, Propulsion Section, ANE–214, Engineering and Manufacturing Branch, Flight Standards Division, Federal Aviation Administration, New England Region, 12 New England Executive Park, Burlington, Mass. 01803. Telephone: 617–273–7336.

SUPPLEMENTARY INFORMATION: The telegraphic Airworthiness Directive adopted and made effective to all known United States operators of Sikorsky model S–64 helicopters on September 9, 1977, was required as a result of fatigue cracks in the main transmission last stage lower planetary carrier plate caused by high amplitude, low cycle torque loads during logging operations. A failure of this plate would cause a sudden loss of torque from both engines.

Since it was found that immediate corrective action was required, notice and public procedure thereon were impracticable and contrary to the public interest, and good cause existed for making the Airworthiness Directive effective immediately to all known United States operators of Sikorsky model S–64 helicopters by individual telegrams dated September 9, 1977.

The manufacturer's service bulletin identified and described in this directive is incorporated herein and made a part hereof pursuant to 5 U.S.C. 522(a)(1). All persons affected by this directive who have not already received these documents from the manufacturer may obtain copies upon request to Sikorsky Aircraft, Division of United Technologies Corp., Stratford, Conn. 06602. These documents may also be examined at Federal Aviation Administration, New England Region, 12 New England Executive Park, Burlington, Mass. 01803, and at FAA Headquarters, 800 Independence Avenue SW., Washington, D.C.

DRAFTING INFORMATION

The principal authors of this document are Harold W. Ferris, Flight Standards Division, and George L. Thompson, Associate Regional Counsel.

ADOPTION OF THE AMENDMENT

Pursuant to the authority delegated to me by the Administrator (31 FR 13697), an Airworthiness Directive was adopted on September 9, 1977, and made effective immediately to all known United States operators of Sikorsky model S–64 helicopters. These conditions still exist and the full text of the telegraphic AD is hereby published in the FEDERAL REGISTER as an amendment to § 39.13 of Part 39 of the Federal Aviation Regulations:

SIKORSKY AIRCRAFT. Applies to all Sikorsky model S–64E and S–64F helicopters. Compliance required as indicated, unless already accomplished.

1. To prevent cracking and possible failure of main transmission lower planetary plates, P/N 6435–20229–102, inspect for cracks in accordance with Sikorsky Service Bulletin No. 64B35–7 prior to the accumulation of 1300 hours time in service, or within the next 30 hours time in service after receipt of this telegram, whichever is later, and every 70 hours time in service thereafter. Cracked plates must be removed before further flight.

2. Effective October 30, 1977, P/N 6435–20229–102 plates with 2,000 or more hours total time in service must be removed from service.

3. For P/N 6436–20229–102 plates with 1,300 or more hours total time in service after receipt of this telegram, inspect main transmission oil filter pack daily for magnesium chips. If chips are found, remove main transmission from service before further flight.

Upon request of the operator, an FAA maintenance inspector, subject to prior approval of the chief, engineering and manufacturing branch, FAA, New England region, may adjust the repetitive inspection intervals specified in this AD to permit compliance at an established inspection period of the operator if the request contains substantiating data to justify the increase for that operator.

Sikorsky Alert Service Bulletin No. 64B35–7 refers to this subject."

(Secs. 313(a), 601, 603, Federal Aviation Act of 1958, as amended (49 U.S.C. 1354(a), 1421, 1423); sec. 6(c), Department of Transportation Act (49 U.S.C. 1655(c)); 14 CFR 11.89)

NOTE.—The Federal Aviation Administration has determined that the document does not contain a major proposal requiring preparation of an Economic Impact Statement under Executive Order 11821, as amended by Executive Order 11949, and OMB Circular A-107.

Issued in Burlington, Mass., on September 19, 1977.

WILLIAM E. CROSBY,
Acting Director,
New England Region.

NOTE.—The incorporation by reference in the preceding document was approved by the Director of the Federal Register on June 19, 1967.

[FR Doc.77-28607 Filed 9-28-77;8:45 am]

[4910-13]

[Airspace Docket No. 77-EA-75]

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

Alteration of Transition Area, Coatesville, Pa.

AGENCY: Federal Aviation Administration (FAA), DOT.

ACTION: Final rule.

SUMMARY: This amendment alters the Coatesville, Pa., transition area, by changing the reference to the Coatesville RBN to COATY LOM, which reflects a recent name change.

EFFECTIVE DATE: 0901 G.m.t. October 6, 1977.

FOR FURTHER INFORMATION CONTACT:

Frank Trent, Airspace & Procedures Branch, AEA-530, Air Traffic Division, Federal Aviation Administration, Federal Building, J. F. K. International Airport, Jamaica, N.Y. 11430. Telephone 212-995-3391.

SUPPLEMENTARY INFORMATION: The purpose of this amendment to Subpart G of Part 71 of the Federal Aviation Regulations (14 CFR Part 71) is to alter the Coatesville, Pa., transition area. The rule resulted from a change in the name of the referenced navigational aid.

The change in name is editorial and will impose no additional burden on any person and thus notice or public procedure hereon are unnecessary, and good cause exists for making the amendment effective in less than 30 days.

The principal authors of this document are Frank Trent, Air Traffic Division, and Thomas C. Halloran, Esq., Office of the Regional Counsel.

ADOPTION OF THE AMENDMENT

Accordingly, pursuant to the authority delegated to me by the Administrator, Subpart G of Part 71 of the Federal Aviation Regulations (14 CFR Part 71) is amended, effective 0901 G.m.t. October 6, 1977, as follows:

§ 71.181 [Amended]

1. Amend § 71.181 of Part 71 of the Federal Aviation Regulations so as to amend the description of the Coatesville, Pa. transition area by deleting, "Coatesville RBN (39°59'32" N., 75°56'32" W.), extending from the 6-mile radius arc to 11.5 miles west of the RBN" and by inserting, "COATY LOM (39°59'32" N., 75°57'06" W.), extending from the 6-mile radius arc to 11.5 miles west of the LOM", in lieu thereof.

NOTE.—The Federal Aviation Administration has determined that this document does not contain a major proposal requiring preparation of an Economic Impact Statement under Executive Order 11821, as amended by Executive Order 11949, and OMB Circular A-107.

(Sec. 307(a), Federal Aviation Act of 1958 (49 U.S.C. 1348(a) and 1354(c)); sec. 6(c), Department of Transportation Act (49 U.S.C. 1655(c)); 14 CFR 11.69.)

Issued in Jamaica, N.Y., on September 16, 1977.

TIMOTHY L. HARTNETT,
Acting Director, Eastern Region.

[FR Doc.77-28610 Filed 9-28-77;8:45 am]

[Airspace Docket No. 77-SW-20]

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

Alteration of Transition Area: Refugio, Tex.

AGENCY: Federal Aviation Administration (FAA), DOT.

ACTION: Final rule.

SUMMARY: This amendment alters the Refugio, Tex., transition area to provide controlled airspace for aircraft executing the new instrument approach procedure established for Mellon Ranch Airport, using the navigation aid (NDB) located on the airport.

EFFECTIVE DATE: December 1, 1977.

FOR FURTHER INFORMATION CONTACT:

John A. Jarrell, Airspace and Procedures Branch (ASW-535), Air Traffic Division, Southwest Region, Federal Aviation Administration, P.O. Box 1689, Fort Worth, Texas 76101, telephone 817-624-4911, extension 302.

SUPPLEMENTARY INFORMATION: The purpose of this amendment to Subpart G of Part 71 of the Federal Aviation Regulations (14 CFR Part 71) is to alter the Refugio, Tex., transition area.

On July 18, 1977, a notice of proposed rulemaking was published in the FEDERAL REGISTER (42 FR 36843) stating the Federal Aviation Administration proposed to alter the Refugio, Tex., transition area to provide controlled airspace for aircraft executing the new instrument approach procedure established for the Mellon Ranch Airport.

Interested persons were afforded an opportunity to participate in the rule making through submission of comments. All comments received were favorable.

DRAFTING INFORMATION

The principal authors of this document are John A. Jarrell, Airspace and Procedures Branch, and Robert C. Nelson, Office of the Regional Counsel.

ADOPTION OF THE AMENDMENT

Accordingly, pursuant to the authority delegated to me by the Administrator, Subpart G of Part 71 of the Federal Aviation Regulations (14 CFR Part 71) as republished (42 FR 440) is amended, effective 0901 G.m.t., December 1, 1977, as hereinafter set forth.

In Subpart G, § 71.181 (42 FR 440), the Refugio, Tex., transition area is amended as follows:

That airspace extending upward from 700 feet above the surface within a 5-mile radius of Tom O'Connor Oilfield Airport (latitude 28°20'04" N., longitude 97°08'58" W.); within 2 miles each side of the 335° bearing from the Vidauri RBN (latitude 28°23'51" N., longitude 97°10'40" W.), extending from the 5-mile-radius area to 8 miles northwest of the Vidauri NDB; within a 5-mile radius of Mellon Ranch Airport (latitude 28°16'50" N., longitude 97°12'30" W.), and within 3.5 miles each side of the 319° bearing from the Mellon Ranch NDB (latitude 28°16'47" N., longitude 97°12'20" W.), extending from the 5-mile radius to 12 miles northwest of the Mellon Ranch NDB and within 3.5 miles each side of the 152° bearing from the Mellon Ranch NDB, extending from the 5-mile radius to 11.5 miles southeast of Mellon Ranch NDB.

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

NOTE.—The FAA has determined that this document does not contain a major proposal requiring preparation of an Economic Impact Statement under Executive Order 11821, as amended by Executive Order 11949, and OMB Circular A-107.

Issued in Fort Worth, Tex., on September 15, 1977.

HENRY L. NEWMAN,
Director, Southwest Region.

[FR Doc.77-28045 Filed 9-28-77;8:45 am]

[4910-13]

[Airspace Docket No. 77-EA-51]

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

Designation of Transition Area, Fort Indiantown Gap, Pa.

AGENCY: Federal Aviation Administration (FAA), DOT.

ACTION: Final rule.

SUMMARY: This amendment designates a Fort Indiantown Gap, Pa. Transition Area, over Muir Army Air Field, Fort Indiantown Gap, Pa. This designation will provide protection to aircraft executing the new instrument approach which has been developed for the airport. An instrument approach procedure requires the designation of controlled airspace to protect instrument aircraft utilizing the instrument approach.

EFFECTIVE DATE: 0901 GMT, December 1, 1977.

FOR FURTHER INFORMATION CONTACT:

Frank Trent, Airspace and Procedures Branch, AEA-530, Air Traffic Division,

Federal Aviation Administration, Federal Building, J. F. K. International Airport, Jamaica, N.Y. 11430, telephone 212–995–3391.

SUPPLEMENTARY INFORMATION: The purpose of this amendment to Subpart G of Part 71 of the Federal Aviation Regulations (14 CFR Part 71) is to designate a Fort Indiantown Gap, Pa., transition area. The rule resulted from a new instrument approach procedure. Interested persons have been afforded an opportunity to participate in the formation of the rule. No objections were received. Accordingly, the proposal is adopted as published.

DRAFTING INFORMATION

The principal authors of this document are Frank Trent, Air Traffic Division, and Thomas C. Halloran, Esq., Office of the Regional Counsel.

ADOPTION OF THE AMENDMENT

Accordingly, pursuant to the authority delegated to me by the Administrator, Subpart G of Part 71 of the Federal Aviation Regulations (14 CFR Part 71) is amended, effective 0901 G.m.t. December 1, 1977, as published.

(Sec. 307(a), Federal Aviation Act of 1958 (49 U.S.C. 1348(a), 1354(c)); sec. 6(c) of the Department of Transportation Act (49 U.S.C. 1655(c)); 14 CFR 11.69.)

NOTE.—The Federal Aviation Administration has determined that this document does not contain a major proposal requiring preparation of an Economic Impact Statement under Executive Order 11821, as amended by Executive Order 11949, and OMB Circular A–107.

Issued in Jamaica, New York, on September 16, 1977.

TIMOTHY L. HARTNETT,
Acting Director, Eastern Region.

1. Amend § 71.181 of Part 71 of the Federal Aviation Regulations by designating a Fort Indiantown Gap, Pa. transition area as follows:

FORT INDIANTOWN GAP, PA.

That airspace extending upward from 700 feet above the surface within a 6.5-mile radius of the center, 40°26'00" N, 76°34'00" W. of Muir AAF, Fort Indiantown Gap, Pa.; within a 12-mile radius of the center of the airport, extending clockwise from a 230° bearing to a 252° bearing from the airport; within a 14.5-mile radius of the center of the airport, extending clockwise from a 252° bearing to a 037° bearing from the airport; within a 12.5-radius of the center of the airport, extending clockwise from a 037° bearing to a 086° bearing from the airport; within an 8-mile radius of the center of the airport, extending clockwise from a 086° bearing to a 136° bearing from the airport; within 4.5 miles each side of the 097° bearing from the Bellgrove, Pa., RBN, extending from the RBN to 10 miles east of the RBN.

[FR Doc.77–28609 Filed 9–28–77;8:45 am]

[Airspace Docket No. 77–SW–42]

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

Revocation of Control Zone: Big Spring, Tex.

AGENCY: Federal Aviation Administration (FAA), DOT.

ACTION: Final rule.

SUMMARY: This amendment revokes the Big Spring, Tex., control zone. On September 1, 1977, communications capability down to the runway surface and weather observations were terminated when Webb Air Force Base ceased to provide this service. The cessation of these services necessitates the revocation of the control zone.

EFFECTIVE DATE: December 1, 1977.

FOR FURTHER INFORMATION CONTACT:

John A. Jarrell, Airspace and Procedures Branch (ASW–535), Air Traffic Division, Southwest Region, Federal Aviation Administration, P.O. Box 1689, Fort Worth, Tex. 76101, telephone 817–624–4911, extension 302.

SUPPLEMENTARY INFORMATION: In Subpart F, § 71.171 (42 FR 355) of FAR Part 71, the Big Spring, Tex., control zone is designated as part-time through the notation that the control zone will be effective during specific dates and times established in advance by a NOTAM. The dates and times conform with the Webb Air Force Base air traffic control tower hours of operation. Hourly and special weather observations are provided during the designated hours of operation. The Air Force has informed us of the closure of Webb Air Force Base on September 1, 1977. This will terminate the services required for the control zone and necessitate revocation of the control zone.

The aforementioned action will reduce the constraints and, in effect, the impact on the user imposed by the control zone operation. Consequently, we have elected to omit circularization of the change for comment.

DRAFTING INFORMATION

The principal authors of this document are John A. Jarrell, Airspace and Procedures Branch, and Robert C. Nelson, Office of the Regional Counsel.

ADOPTION OF THE AMENDMENT

Accordingly, pursuant to the authority delegated to me by the Administrator, Subpart F of Part 71 of the Federal Aviation Regulations (14 CFR Part 71) as republished (42 FR 355) is amended, effective 0901 G.m.t., December 1, 1977, as hereinafter set forth.

In Subpart F, § 71.171 (42 FR 355), the Big Spring, Tex., control zone is revoked.

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

NOTE.—The FAA has determined that this document does not contain a major proposal requiring preparation of an Economic Impact Statement under Executive Order 11821, as amended by Executive Order 11949, and OMB Circular A–107.

Issued in Fort Worth, Tex., September 15, 1977.

HENRY L. NEWMAN,
Director, Southwest Region.

[FR Doc.77–28044 Filed 9–28–77;8:45 am]

[4910–13]

[Docket No. 17230; Amdt. No. 1092]

SUBCHAPTER F—AIR TRAFFIC AND GENERAL OPERATING RULES

PART 97—STANDARD INSTRUMENT APPROACH PROCEDURES

Miscellaneous Amendments

AGENCY: Federal Aviation Administration (FAA), DOT.

ACTION: Final rule.

SUMMARY: This amendment establishes, amends, suspends, or revokes Standard Instrument Approach Procedures (SIAPs) for operations at certain airports. These regulatory actions are needed because of the adoption of new or revised criteria, or because of changes occurring in the National Airspace System, such as the commissioning of new navigational facilities, addition of new obstacles, or changes in air traffic requirements. These changes are designed to provide safe and efficient use of the navigable airspace and to promote safe flight operations under instrument flight rules at the affected airports.

EFFECTIVE DATES: An effective date for each SIAP is specified in the amendatory provisions.

ADDRESSES: Availability of matters incorporated by reference in the amendment is as follows:

FOR EXAMINATION

1. FAA Rules Docket, FAA Headquarters Building, 800 Independence Avenue, SW., Washington, D.C. 20591;

2. The FAA Regional Office of the region in which the affected airport is located; or

3. The Flight Inspection Field Office which originated the SIAP.

FOR PURCHASE

Individual SIAP copies may be obtained from: 1. FAA Public Information Center (APA–430), FAA Headquarters Building, 800 Independence Ave., SW., Washington, D.C. 20591; or

2. The FAA Regional Office of the region in which the affected airport is located.

BY SUBSCRIPTION

Copies of all SIAPs, mailed weekly, may be ordered from Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402. The current annual subscription price is $150.00; add $30.00 for each additional copy mailed to the same address.

FOR FURTHER INFORMATION CONTACT:

William L. Bersch, Flight Procedures and Airspace Branch (AFS-730), Aircraft Programs Division, Flight Standards Service, Federal Aviation Administration, 800 Independence Ave, SW., Washington, D.C. 20591, telephone 202-426-8277.

SUPPLEMENTARY INFORMATION: This amendment to Part 97 of the Federal Aviation Regulations (14 CFR Part 9) prescribes new, amended, suspended, or revoked Standard Instrument Approach Procedures (SIAPs). The complete regulatory description of each SIAP is contained in official FAA form documents which are incorporated by reference in this amendment under 5 U.S.C. 552(a), 1 CFR Part 51, and § 97.20 of the Federal Aviation Regulations (FARs). The applicable FAA forms are identified as FAA Forms 8260-3, 8260-4 and 8260-5. Materials incorporated by reference are available for examination or purchase as stated above.

The large number of SIAPs, their complex nature, and the need for a special format make their verbatim publication in the FEDERAL REGISTER expensive and impractical. Further, airmen do not use the regulatory text of the SIAPs but refer to their graphic depiction on charts printed by publishers of aeronautical materials. Thus, the advantages of incorporation by reference are realized and publication of the complete description of each SIAP contained in FAA form document is unnecessary. The provisions of this amendment state the affected CFR (and FAR) sections, with the types and effective dates of the SIAPs. This amendment also identifies the airport, its location, the procedure identification and the amendment number.

This amendment to Part 97 is effective on the date of publication and contains separate SIAPs which have compliance dates stated as effective dates based on related changes in the National Airspace System or the application of new or revised criteria. Some SIAP amendments may have been previously issued by the FAA in a National Flight Data Center (FDC) Notice to Airmen (NOTAM) as an emergency action of immediate flight safety relating directly to published aeronautical charts. The circumstances which created the need for some SIAP amendments may require making them effective in less than 30 days. For the remaining SIAPs, an effective date at least 30 days after publication is provided.

Further, the SIAPs contained in this amendment are based on the criteria contained in the U.S. Standard for Terminal Instrument Approach Procedures (TERPs). In developing these SIAPs, the TERPs criteria were applied to the conditions existing or anticipated at the affected airports. Because of the close and immediate relationship between these SIAPs and safety in air commerce, I find that notice and public procedure before adopting these SIAPs is unnecessary, impracticable, or contrary to the public interest and, where applicable, that good cause exists for making some SIAPs effective in less than 30 days.

The principal authors of this document are Rudolph L. Fioretti, Flight Standards Service, and Richard W. Danforth, Office of the Chief Counsel.

ADOPTION OF THE AMENDMENT

Accordingly, pursuant to the authority delegated to me, Part 97 of the Federal Aviation Regulations (14 CFR Part 97) is amended by establishing, amending, suspending, or revoking Standard Instrument Approach Procedures, effective on the dates specified, as follows:

§ 97.23 [Amended]

1. By amending § 97.23 VOR-VOR/DME SIAPs identified as follows:

** * * Effective December 29, 1977.*

Belvidere, IL—Belvidere LTD, VOR-A, Original

** * * Effective December 29, 1977.*

Akron, CO—Akron-Washington County, VOR Rwy 27, Amdt. 2
Emporia, KS—Emporia Municipal, VOR-A, Amdt. 9
Columbia, MS—Columbia-Marion County, VOR/DME Rwy 23, Orig.
Fayetteville, TN—Fayetteville Muni., VOR/DME Rwy 1, Amdt. 1
Jackson, TN—McKellar Field, VOR Rwy 2, Amdt. 11
Amarillo, TX—Amarillo International, VOR Rwy 22, Amdt. 22

** * * Effective November 17, 1977.*

Cordele, GA—Cordele, VOR/DME Rwy 22, Amdt. 5
Macon, GA—Herbert Smart Downtown, VOR-A, Amdt. 1
Plains, GA—Peterson Field, VOR/DME-B, Orig.
Augusta, KS—Augusta Municipal, VOR/DME-A, Amdt. 2
Wichita, KS—Beech Factory, VOR/DME-B, Amdt. 8
Ainsworth, NE—Ainsworth Muni., VOR Rwy 17, Amdt. 5
Ainsworth, NE—Ainsworth Muni., VOR Rwy 35, Amdt. 1
Saranac Lake, NY—Adirondack, VOR Rwys 5 and 9, Amdt. 7
Greensboro, NC—Greensboro-High Point-Winston Salem Regional, VOR/DME Rwy 32, Orig.
Chattanooga, TN—Lovell Field, VOR Rwy 32, Amdt. 11

** * * Effective October 20, 1977.*

Twin Falls, ID—Twin Falls City-County (Joslin Field) VOR Rwy 25, Amdt. 14

§ 97.25 [Amended]

2. By amending § 97.25 SDF-LOC-LDA SIAPs identified as follows:

** * * Effective December 1, 1977.*

Helena, MT—Helena, LOC/DME BC-C, Original
Jackson, TN—McKellar Field, LOC (BC) Rwy 20, Amdt. 2
Amarillo, TX—Amarillo International, LOC BC Rwy 22, Amdt. 12

§ 97.27 [Amended]

3. By amending § 97.27 NDB/ADF SIAPs identified as follows:

** * * Effective January 26, 1978.*

Sterling, CO—Crosson Field, NDB Rwy 33, Amdt. 1

** * * Effective December 1, 1977.*

Arlington, TN—Arlington Muni., NDB Rwy 15, Amdt. 3
Arlington, TN—Arlington Muni., NDB Rwy 33, Amdt. 3
Bolivar, TN—Bolivar-Hardeman County, NDB Rwy 36, Amdt. 1
Cookeville, TN—Putnam County, NDB Rwy 17, Amdt. 2
Covington, TN—Covington Muni., NDB Rwy 1, Amdt. 1
Fayetteville, TN—Fayetteville Muni., NDB Rwy 1, Amdt. 2
Jackson, TN—McKellar Field, NDB Rwy 2, Amdt. 3
Memphis, TN—Memphis International, NDB Rwy 9, Amdt. 24
McMinnville, TN—Warren County Memorial, NDB Rwy 5, Amdt. 2
McMinnville, TN—Warren County Memorial, NDB Rwy 23, Amdt. 2
Memphis, TN—Memphis International, NDB Rwy 35R, Amdt. 3
Sparta, TN—Sparta-White County, NDB Rwy 3, Amdt. 1
Winchester, TN—Winchester Muni., NDB Rwy 18, Amdt. 1
Amarillo, TX—Amarillo International, NDB Rwy 4, Amdt. 12
Houston, TX—Houston Intercontinental, NDB Rwy 8, Amdt. 3

** * * Effective November 17, 1977.*

Augusta, GA—Bush Field, NDB Rwy 35, Amdt. 23
Panama City, FL—Panama City-Bay County, NDB Rwy 14, Original
Muscatine, IA—Muscatine Municipal, NDB Rwy 5, Amdt. 5
Sikeston, MO—Sikeston Memorial Municipal, NDB Rwy 20, Amdt. 4
Ogdensburg, NY—Ogdensburg International, NDB-A, Amdt. 3
Raleigh, NC—Raleigh-Durham, NDB Rwy 5, Amdt. 16
Raleigh, NC—Raleigh-Durham, NDB Rwy 23, Orig.
Wilmington, NC—New Hanover County, NDB Rwy 34, Amdt. 11
Pickens, SC—Pickens County, NDB Rwy 4, Amdt. 1

** * * Effective October 20, 1977.*

Twin Falls, ID—Twin Falls City-County (Joslin Field) NDB Rwy 25, Amdt. 3

§ 97.29 [Amended]

4. By amending § 97.29 ILS-MLS SIAPs identified as follows:

** * * Effective December 1, 1977.*

Jackson, TN—McKellar Field, ILS Rwy 2, Amdt. 3
Amarillo, TX—Amarillo International, ILS Rwy 4, Amdt. 16
Houston, TX—Houston Intercontinental, ILS Rwy 8, Amdt. 5

* * * *Effective November 17, 1977.*

Augusta, GA—Bush Field, ILS Rwy 35, Amdt. 22

Boston, MA—General Edward Lawrence Logan Int'l., ILS Rwy 4R, Amdt. 23, cancelled

Raleigh, NC—Raleigh-Durham, ILS Rwy 5, Amdt. 19

Wilmington, NC—New Hanover County, ILS Rwy 34, Amdt. 15

* * * *Effective October 20, 1977.*

Twin Falls, ID—Twin Falls City-County (Joslin Field) ILS Rwy 26, Amdt. 4

§ 97.31 [Amended]

5. By amending § 97.31 RADAR SIAPs identified as follows:

* * * *Effective December 1, 1977.*

Amarillo, TX—Amarillo International, RADAR-1, Amdt. 10

§ 97.33 [Amended]

6. By amending § 97.33 RNAV SIAPs identified as follows:

* * * *Effective December 1, 1977.*

Amarillo, TX—Amarillo International, RNAV Rwy 22, Amdt. 2, cancelled

Emporia, KS—Emporia Municipal, RNAV Rwy 18, Amdt. 2

* * * *Effective November 17, 1977.*

Wichita, KS—Beech Factory, RNAV Rwy 18, Amdt. 2

Wichita, KS—Beech Factory, RNAV Rwy 36, Amdt. 3

(Secs. 307, 313(a), 601, 1110, Federal Aviation Act of 1958 (49 U.S.C. 1348, 1354(a), 1421, 1510); sec. 6(c), Department of Transportation Act (49 U.S.C. 1655(c)); Delegation: 25 FR 6489 and Paragraph 802 of Order FS P 1100.1, as amended March 9, 1973)

NOTE.—The Federal Aviation Administration has determined that this document does not contain a major proposal requiring preparation of an Economic Impact Statement under Executive Order 11821, as amended by Executive Order 11949, and OMB Circular A-107.

Issued in Washington, D.C., on September 23, 1977.

JAMES M. VINES,
Chief, Aircraft Programs Division.

NOTE.—The incorporation by reference in the preceding document was approved by the Director of the Federal Register on May 12, 1969.

[FR Doc.77-28604 Filed 9-28-77;8:45 am]

Title 17—Commodity and Securities Exchanges

CHAPTER II—SECURITIES AND EXCHANGE COMMISSION

[Release Nos. 33-5863, 34-13938, 35-20166, AS-226]

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

Marketable Securities and Other Security Investments

Correction

In FR Doc 77-26984 appearing at page 46512 in the issue of Friday, September 16, 1977, in § 210.12-02 on page 46514 the table should be corrected to read as follows:

§210.12-02 Marketable securities--other security investments.

Column A	Column B	Column C	Column D	Column E[4]
Name of issuer[1] and title of each issue[2]	Number of shares or units--principal amount of bonds and notes	Cost of each issue	Market value[3] of each issue at balance sheet date	Amount at which each portfolio of equity security issues and each other security issue carried in the balance sheet

1 For the purpose of this schedule, each of the following groups of entities shall be considered as one issuer: (a) the United States Government and its agencies; (b) any state of the United States and its agencies; (c) a political subdivision of a state of the United States and its agencies; (d) a foreign government and its agencies and political subdivisions; and (e) a corporation and its majority owned subsidiaries. If a security listed herein is guaranteed by or considered a moral obligation of another issuer named herein, provide, in a note keyed to each issuer, a brief description of the terms of such guarantee or obligation.

2(a) Each issue shall be stated separately, except that reasonable groupings, without enumeration, may be made of securities of any issuer for which the greater of the aggregate cost or aggregate market value is less than two percent of total assets.

(b) In the case of bank holding companies group separately (1) securities of banks and (2) other securities, and in column C show totals for each group.

3 Market value shall be based on market quotations at the balance sheet date or, if such quotations are not available, on determinations of fair value made in good faith by the board of directors.

4 Column E shall be totaled to correspond to the respective balance sheet captions.

[8010–01]

[Release Nos. 33–5862; IC–9916; File No. S7–537]

PART 231—INTERPRETATIVE RELEASES RELATING TO THE SECURITIES ACT OF 1933 AND GENERAL RULES AND REGULATIONS THEREUNDER

PART 271—INTERPRETATIVE RELEASES RELATING TO THE INVESTMENT COMPANY ACT OF 1940 AND GENERAL RULES AND REGULATIONS THEREUNDER

Sales Literature for Mutual Funds; Correction

AGENCY: Securities and Exchange Commission.

ACTION: Amendment to statement of policy; correction.

SUMMARY: This document corrects a final rule on sales literature for mutual funds which appears at page 45291 of the FEDERAL REGISTER of September 9, 1977.

DATES: Amendment, effective date, 9–9–77; comments by 10–31–77.

FOR FURTHER INFORMATION CONTACT:

Gene A. Gohlke, Division of Investment Management, Securities and Exchange Commission, 500 North Capitol St., Washington, D.C. 20549 (202–755–1815).

In FR Doc. 77–26326 on page 45295:

(1) column one, third paragraph designated (x), first line should read "If Sample Chart F is used, it should"

(2) column three, second full paragraph designated (v), last line should read, "paragraph (vii) of this subsection."

GEORGE A. FITZSIMMONS,
Secretary.

SEPTEMBER 22, 1977.

[FR Doc.77–28593 Filed 9–28–77;8:45 am]

[4210–01]

Title 24—Housing and Urban Development

CHAPTER VIII—LOW INCOME HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

[Docket No. R–77–464]

PART 841—PUBLIC HOUSING PROGRAM; DEVELOPMENT PHASE

Appendix A—Prototype Cost Limits for Low Income Housing

AGENCY: Office of the Assistant Secretary for Housing-Federal Housing Commissioner, Department of Housing and Urban Development.

ACTION: Interim rule.

SUMMARY: On June 30, 1977, the Department published a revised Schedule A, "Prototype Cost Limits for Low-Income Housing", to Part 841. Consideration of subsequent factual cost data and other information received from the field offices shows that new prototype cost areas should be established, and others revised to make the program feasible in the affected areas. Section 6(b) of the U.S. Housing Act of 1937 provides that prototype costs become effective on the date of publication in the FEDERAL REGISTER.

DATES: Effective Date: September 29, 1977. Comments will be considered in preparing revisions of these schedules, which will appear in the FEDERAL REGISTER. Comments should be received on or before October 14, 1977.

ADDRESSES: Send comments to Director, Office of Technical Support, HUD Central Office, Room 6160, 451 7th Street SW., Washington, D.C. 20410, and send a copy of comments to the local HUD Office.

FOR FURTHER INFORMATION CONTACT:

Mr. Robert P. Cunningham, Director, Office of Technical Support, Department of Housing and Urban Development, 451 7th Street SW., Washington, D.C. 20410. (202–755–5730.)

SUPPLEMENTARY INFORMATION: Based on information supplied by field offices and the public, the prototype per unit cost areas for the Baltimore Area Office are being realigned and an additional area is being established; Fort Mojave Indian Reservation is being separated from the Kingman, Ariz. prototype cost area with a new area established for Fort Mojave; and the prototype per unit cost schedules for Elko, Fallon, and Gardnerville, Nev. are being expanded to cover 0 and 1 bedroom units for detached and semi-detached as well as 0 to 6 bedroom units for row dwellings and walk-up, both of which had been inadvertently omitted in previous publications of the FEDERAL REGISTER.

These costs, issued pursuant to Section 6(b) of the U.S. Housing Act of 1937, represent per unit cost schedules for low-income housing and are required to be published at least annually in the FEDERAL REGISTER.

Because of the need to maintain current prototype cost schedules, it is in the public interest to publish the changes for effect. However, timely written comments will be considered, and additional amendments will be published if the Department determines that acceptance of the comments is appropriate. Comments with respect to cost limits for a given location should be sent to the addresses indicated above.

A finding of inapplicability respecting the National Environmental Policy Act of 1969 has been made in accordance with HUD procedures. A copy of this finding of inapplicability will be available for public inspection during regular business hours in the Office of the Rules Docket Clerk, Room 5218, Department of Housing and Urban Development, 451 7th Street SW., Washington, D.C.

Accordingly, the Prototype Cost Limits for Low Income Housing, pursuant to 24 CFR, Part 841, Appendix A, are amended as follows:

1. At 41 FR 33646, delete Aberdeen, Annapolis, Cambridge, Cumberland, and Frederick prototype per unit cost schedules and add a prototype per unit cost schedule for Waldorf as shown on the table set forth hereinafter entitled Prototype Per Unit Cost Schedule—Region III—Maryland.

2. At 41 FR 33692, add a prototype per unit cost schedule for Fort Mojave as shown on the table set forth hereinafter entitled Prototype Per Unit Cost Schedule—Region IX—Arizona.

3. At 41 FR 33700, delete the existing prototype per unit cost schedules for Elko, Fallon, and Gardnerville and substitute the expanded prototype per unit cost schedules for these same areas as shown on the table set forth hereinafter entitled Prototype Per Unit Cost Schedule—Region IX—Nevada.

(Sec. 7(d), Department of HUD Act, 42 U.S.C. 3535(d); Sec. 6(b) of the U.S. Housing Act of 1937, 42 U.S.C. 1437d.)

NOTE.—It is hereby certified that the economic and inflationary impacts of the amendment to Part 841 have been carefully evaluated in accordance with Executive Order No. 11821.

Issued at Washington, D.C., September 23, 1977.

MORTON A. BARUCH,
General Deputy Assistant Secretary for Housing.

PROTOTYPE PER UNIT COST SCHEDULE

REGION III

Maryland
Waldorf

	0 BR	1 BR	2 BR	3 BR	4 BR	5 BR	6 BR
Det. & Semi-Det.	12,700	15,300	16,950	20,200	24,200	27,100	28,300
Row Dwellings	12,250	14,800	16,300	19,500	23,400	26,000	27,250
Walk-Up	13,300	16,450	18,650	22,100	25,700	28,200	29,700
Elevator-Structure	20,200	23,500	29,800	-	-	-	-

	0 BR	1 BR	2 BR	3 BR	4 BR	5 BR	6 BR
Det. & Semi-Det.							
Row Dwellings							
Walk-Up							
Elevator-Structure							

	0 BR	1 BR	2 BR	3 BR	4 BR	5 BR	6 BR
Det. & Semi-Det.							
Row Dwellings							
Walk-Up							
Elevator-Structure							

	0 BR	1 BR	2 BR	3 BR	4 BR	5 BR	6 BR
Det. & Semi-Det.							
Row Dwellings							
Walk-Up							
Elevator-Structure							

	0 BR	1 BR	2 BR	3 BR	4 BR	5 BR	6 BR
Det. & Semi-Det.							
Row Dwellings							
Walk-Up							
Elevator-Structure							

PROTOTYPE PER UNIT COST SCHEDULE

REGION IX

Arizona

Fort Mojave	0 BR	1 BR	2 BR	3 BR	4 BR	5 BR	6 BR
Det. & Semi-Det.	15,250	18,350	22,750	26,950	32,450	36,150	37,850
Row Dwellings	-	-	-	-	-	-	-
Walk-Up	-	-	-	-	-	-	-
Elevator-Structure	-	-	-	-	-	-	-

	0 BR	1 BR	2 BR	3 BR	4 BR	5 BR	6 BR
Det. & Semi-Det.							
Row Dwellings							
Walk-Up							
Elevator-Structure							

	0 BR	1 BR	2 BR	3 BR	4 BR	5 BR	6 BR
Det. & Semi-Det.							
Row Dwellings							
Walk-Up							
Elevator-Structure							

	0 BR	1 BR	2 BR	3 BR	4 BR	5 BR	6 BR
Det. & Semi-Det.							
Row Dwellings							
Walk-Up							
Elevator-Structure							

	0 BR	1 BR	2 BR	3 BR	4 BR	5 BR	6 BR
Det. & Semi-Det.							
Row Dwellings							
Walk-Up							
Elevator-Structure							

PROTOTYPE PER UNIT COST SCHEDULE

REGION IX

Nevada

Elko	0 BR	1 BR	2 BR	3 BR	4 BR	5 BR	6 BR
Det. & Semi-Det.	18,950	22,750	25,300	29,600	35,350	39,200	41,050
Row Dwellings	17,900	21,450	23,800	28,250	33,650	37,400	39,300
Walk-Up	15,600	19,150	21,700	25,650	29,650	32,500	32,900
Elevator-Structure	-	-	-	-	-	-	-

Fallon	0 BR	1 BR	2 BR	3 BR	4 BR	5 BR	6 BR
Det. & Semi-Det.	18,950	22,750	25,300	29,600	35,350	39,200	41,050
Row Dwellings	17,900	21,450	23,800	28,250	33,650	37,400	39,300
Walk-Up	15,600	19,150	21,700	25,650	29,650	32,500	32,900
Elevator-Structure	-	-	-	-	-	-	-

Gardnerville	0 BR	1 BR	2 BR	3 BR	4 BR	5 BR	6 BR
Det. & Semi-Det.	17,300	20,950	23,300	27,350	32,750	36,150	37,900
Row Dwellings	16,250	19,450	21,750	26,100	31,250	34,850	39,900
Walk-Up	13,900	17,350	19,800	23,550	27,350	30,100	31,600
Elevator-Structure	-	-	-	-	-	-	-

	0 BR	1 BR	2 BR	3 BR	4 BR	5 BR	6 BR
Det. & Semi-Det.							
Row Dwellings							
Walk-Up							
Elevator-Structure							

	0 BR	1 BR	2 BR	3 BR	4 BR	5 BR	6 BR
Det. & Semi-Det.							
Row Dwellings							
Walk-Up							
Elevator-Structure							

[FR Doc.77-28132 Filed 9-28-77;8:45 am]

[3710–]

Title 33—Navigation and Navigable Waters

CHAPTER II—CORPS OF ENGINEERS, DEPARTMENT OF THE ARMY

PART 207—NAVIGATION REGULATIONS

Anacostia River Restricted Area

AGENCY: U.S. Army Corps of Engineers, DOD.

ACTION: Final rulemaking.

SUMMARY: The Corps of Engineers/ Department of the Army is revoking the regulation that established a restricted area in the Anacostia River at Pier 1, Washington Navy Yard, Washington, D.C. The restricted area was established for the Presidential Yacht which has now been deactivated and sold.

EFFECTIVE DATE: September 29, 1977.

FOR FURTHER INFORMATION CONTACT:

Mr. Ralph T. Eppard 202–693–5070 or write: Office of the Chief of Engineers, Attn.: DAEN-CWO-N, Washington, D.C. 20314.

SUPPLEMENTARY INFORMATION: We have determined that notice of proposed rulemaking and public procedures thereto are impracticable and unnecessary. The revocation of 33 CFR 207.127 will remove a restriction on a waterway and will benefit the general public. Accordingly, 33 CFR 207.127 is hereby revoked as set forth below.

§ 207.127 Anacostia River, at U.S. Naval Administrative Unit, Washington Navy Yard, Washington, D.C.; U.S. Navy restricted area. [Revoked]

NOTE.—The Department of the Army has determined that this document does not contain a major proposal requiring preparation of an Inflation Impact Statement under Executive Order 11821 and OMB Circular A–107.

(40 Stat. 266; (33 U.S.C. 1).)

Dated: September 12, 1977.

Approved:

CHARLES R. FORD,
Acting Assistant Secretary of the Army (Civil Works).

[FR Doc.77-28693 Filed 9-28-77;8:45 am]

[6506–01]

Title 40—Protection of Environment

CHAPTER I—ENVIRONMENTAL PROTECTION AGENCY

[FRL 784–3]

PART 61—NATIONAL EMISSION STANDARDS FOR HAZARDOUS AIR POLLUTANTS

Units and Abbreviations

AGENCY: Environmental Protection Agency.

ACTION: Final rule.

SUMMARY: This action revises the General Provisions by reorganizing the units and abbreviations, and adding the International System of Units (SI). Until recently, EPA did not have a preferred system of measurement to be used in its regulations issued under this part. Now the Agency is using SI units in all regulations issued under this part. This necessitates that SI units be added to the General Provisions to provide a complete listing of abbreviations used.

EFFECTIVE DATE: October 31, 1977.

FOR FURTHER INFORMATION CONTACT:

Don R. Goodwin, Emission Standards and Engineering Division, Environmental Protection Agency, Research Triangle Park, N.C. 27711, telephone (919–541–5271).

SUPPLEMENTARY INFORMATION: Section 3 of Pub. L. 94–168, the Metric Conversion Act of 1975, declares that the policy of the United States shall be to coordinate and plan the increasing use of the metric system in the United States. On December 10, 1976, a notice was published in the FEDERAL REGISTER (41 FR 54018) that set forth the interpretation and modification of the International System of Units (SI) for the United States. EPA incorporates SI units in all regulations issued under 40 CFR Part 61 and provides common equivalents in parentheses where desirable. Use of SI units requires this revision of the abbreviations section (§ 61.03) of the General Provisions of 40 CFR Part 61.

An explanation of the International System of Units was presented in the FEDERAL REGISTER notice mentioned above (41 FR 54018). EPA is using the Standard for Metric Practice (E 380–76) published by the American Society for Testing and Materials (A.S.T.M.) as its basic reference. This document may be obtained by sending $4.00 to A.S.T.M., 1916 Race Street, Philadelphia, Pennsylvania 19103.

As this revision has no regulatory impact, but only defines units and abbreviations used in this part, opportunity for public participation was judged unnecessary.

This action is taken under the authority of sections 112 and 301(a) of the Clean Air Act, 42 U.S.C 1857g(a)

NOTE.—The Environmental Protection Agency has determined that this document does not contain a major proposal requiring preparation of an Economic Impact Analysis under Executive Orders 11821 and 11949 and OMB Circular A–107.

Dated: September 26, 1977.

DOUGLAS M. COSTLE,
Administrator.

40 CFR Part 61 is amended by revising § 61.03 to read as follows:

§ 61.03 Units and abbreviations.

Used in this part are abbreviations and symbols of units of measure. These are defined as follows:

(a) System International (SI) units of measure:

A = ampere
g = gram
Hz = hertz
J = joule
K = degree Kelvin
kg = kilogram
m = meter
m^3 = cubic meter
mg = milligram = 10^{-3} gram
mm = millimeter = 10^{-3} meter
Mg = megagram = 10^{6} gram
mol = mole
N = newton
ng = nanogram = 10^{-9} gram
nm = nanometer = 10^{-9} meter
Pa = pascal
s = second
V = volt
W = watt
Ω = omh
μg = microgram = 10^{-6} gram

(b) Other units of measure:

°C = degree Celsius (centigrade)
cfm = cubic feet per minute
cc = cubic centimeter
d = day
°F = degree Fahrenheit
ft^2 = square feet
ft^3 = cubic feet
gal = gallon
in = inch
in Hg = inches of mercury
in H_2O = inches of water
l = liter
lb = pound
lpm = liter per minute
min = minute
ml = milliliter = 10^{-3} liter
oz = ounces
psig = pounds per square inch gage
°R = degree Rankine
μl = microliter = 10^{-6} liter
v/v = volume per volume
yd^2 = square yards
yr = year

(c) Chemical nomenclature:

Be = beryllium
Hg = mercury
H_2O = water

(d) Miscellaneous:

act = actual
avg = average
I.D. = inside diameter
M = molar
N = normal
O.D. = outside diameter
% = percent
std = standard

(Sections 112 and 301(a) of the Clean Air Act, as amended [42 U.S.C. 1857c–7, 1857g(a)].)

[FR Doc.77-28718 Filed 9-28-77;8:45 am]

[6560–01]

SUBCHAPTER D—WATER PROGRAMS

[FRL 788–5]

PART 149—REVIEW OF PROJECTS AFFECTING THE EDWARDS UNDERGROUND RESERVOIR, A DESIGNATED SOLE SOURCE AQUIFER IN THE SAN ANTONIO, TEXAS AREA

AGENCY: Environmental Protection Agency.

ACTION: Final rule.

SUMMARY: These final project review regulations implement aquifer requirements of the Safe Drinking Water Act. The regulations establish procedures for reviewing commitments of Federal financial assistance to projects in the San Antonio, Texas area.

EFFECTIVE DATE: November 15, 1977.

FOR FURTHER INFORMATION CONTACT:

Ms. Zoraida Carballeira, Program Analyst, State Programs Division,

Office of Water Supply (WH-550), Environmental Protection Agency. (202-426-2934).

SUPPLEMENTARY INFORMATION: On December 16, 1975, the Environmental Protection Agency (EPA) published under 40 CFR Part 149 (Review of Projects Affecting Sole Source Aquifers) Interim Project Review Guidelines for the Edwards Underground Reservoir, Texas Area (40 FR 58292). These guidelines went into effect immediately and authorized EPA review as of the date of their publication. A notice of a public hearing and a request for comments on the interim guidelines were published in the FEDERAL REGISTER on March 22, 1976. Comments were received from both the public and private sectors in response to our request. On April 26, 1976, EPA held a public hearing in San Antonio, Texas, to hear the views of interested persons on the interim guidelines.

After reviewing all public comments received and evaluating the Agency's experience in the application of these interim guidelines to the Edwards Underground Reservoir, the EPA has prepared regulations for the review of Federal financially assisted projects under Section 1424(e) in the San Antonio area.

These regulations describe the project review process that is applicable to Federal financially assisted projects which may affect the Edwards Underground Reservoir through its recharge zone as described in the December 16, 1975, Notice of Determination, and therefore, supersede the interim guidelines. National proposed regulations for the implementation of Section 1424(e) are being published elsewhere in this issue of the FEDERAL REGISTER (42 FR 51620). The project review process contained in Subpart C of those proposed national regulations is identical to the process contained in these San Antonio regulations. EPA anticipates that the San Antonio regulations will be consolidated with the national regulations once the national regulations are promulgated.

PROJECT REVIEW

Section 1424(e) provides that no commitment of Federal financial assistance shall be made to a project which the Administrator determines may contaminate an aquifer in a designated area through its recharge zone so as to create "a significant hazard to public health." Subpart B of these regulations establishes procedures for review of projects for which an application for Federal financial assistance has been made. The project review process will be implemented by the Regional Administrator with the exception of the final determination which will be made by the Administrator. The Regional Administrator is encouraged to explore all available alternatives with the Federal agencies involved, before a recommendation is submitted to the Administrator to determine that a project may contaminate the aquifer so as to create a significant hazard to public health.

Programs and actions will be subject to EPA's project review authority only if an application for Federal financial assistance has been submitted. Federal actions such as dredging performed by the Army Corps of Engineers, which do not involve a grant of financial assistance to a project, are not affected by the project review authority granted by Section 1424(e). Similarly, Federal actions or programs performed by contractors for the Federal government, such as construction of roads on Federal lands by a contractor under the supervision of the Bureau of Land Management are not subject to project review. Although this type of Federal action does not fall within the scope of Section 1424(e), an obligation to evaluate groundwater impact may exist based on other authority. Some actions may be subject to the provisions of the National Environmental Policy Act (NEPA), and the preparation of an environmental impact statement (EIS) may be required. Furthermore, in accordance with Executive Order 11752, all Federal facilities have a responsibility to take the initiative in the protection of the environment.

If a commitment of Federal financial assistance is sought which is within the meaning of Section 1424(e), the Administrator then has the authority to review the project for which financial assistance is sought, in order to determine whether the project may contaminate the aquifer so as to create a significant hazard to public health. EPA will not be concerned with reviewing small, isolated commitments of financial assistance such as individual home mortgage loans (e.g., Farmers Home Administration loans and Veterans' Administration loans) which presumptively have an insignificant impact on aquifer quality. However, EPA may conduct review if the cumulative impact of a large number of such projects is of concern.

Because groundwater impact evaluations are not only required under Section 1424(e), but are also an integral part of the responsibilities imposed under the National Environmental Policy Act (NEPA), the process of project review pursuant to Section 1424(e) will be integrated as fully as possible with the review of Federal actions subject to NEPA. All Federal agencies have published guidelines for the implementation of NEPA which provide the basis for determining whether a project will have a "significant impact on the environment." Review under Section 1424(e) requires the closely related determination of whether a project may contaminate an aquifer through its recharge zone so as to pose a "significant hazard to public health." Integration of the two types of review will allow EPA and other Federal agencies to avoid needless duplication of efforts under the two statutes and will prevent inefficient use of resources in carrying out groundwater impact evaluations. It will also permit EPA to take advantage of the Federal agencies' and the public's familiarity with the NEPA process. The heads of all Federal agencies have been advised by the Council on Environmental Quality (CEQ) in a memorandum dated November 19, 1976, that NEPA guidelines should be amended to place specific emphasis on the evaluation of the groundwater impact of projects which might affect the quality of an aquifer through its recharge zone and that projects should be submitted to a thorough groundwater impact evaluation in accordance with NEPA procedures.

Assessment of environmental impact under NEPA results in the preparation of an Environmental Impact Statement (EIS) if an initial environmental assessment shows that a project will have a significant impact on the environment. EPA will ordinarily review the potential impact of projects on the aquifer pursuant to Section 1424(e) at the time that draft or final EIS's are submitted to EPA. An EIS prepared for a project which is subject to Section 1424(e) as well as NEPA should contain all the information which is necessary for EPA to properly evaluate a project's impact on groundwater quality under Section 1424(e). EPA will routinely review under Section 1424(e) all EIS's prepared for projects which are to be located in the recharge zone or streamflow source zones which may have an impact on groundwater quality and for which an application for Federal financial assistance has been made.

Although it is anticipated that established NEPA procedures will ordinarily be sufficient to ensure adequate review of groundwater impact pursuant to Section 1424(e), the Regional Administrator shall also have the authority in implementing Section 1424(e) to specifically request that a groundwater impact evaluation which will satisfy the requirements of Section 1424(e) be prepared by the Federal agency from which a commitment of financial assistance is sought. This request may be made on the Regional Administrator's own motion based on information available to him, or upon receipt of a public petition meeting certain specified criteria. A well-researched ground water impact chapter extracted from an environmental assessment prepared in accordance with NEPA may be sufficient to satisfy such a request for a groundwater impact evaluation under Section 1424(e).

To ensure that EPA and the public are informed of projects which may affect the quality of the aquifer, EPA will request from each funding Federal agency that a list of projects for which EIS's will be prepared and which are located in the recharge zone or streamflow source zones for the Edwards Underground Reservoir be periodically submitted to the Regional Administrator and made available to the public upon request. The Regional Administrator shall also have discretionary authority to work out with regional Federal agencies any agreements or memoranda of understanding which he feels are necessary to supplement these guidelines and to

keep them informed of projects in the area. The Regional Administrator may assume the initiative in obtaining information on commitments of Federal financial assistance which are under consideration and in taking other steps to ensure that they are kept up-to-date on Federal funding of projects in the area. The Regional Administrator may, for example, request lists of applications for Federal financial assistance from the local A–95 Clearinghouse.

EPA will rely as much as possible upon existing State capabilities in protecting the groundwater quality of the aquifer. This reliance will in no way constitute a delegation of project review authority, since this is clearly an EPA responsibility which may not be delegated. However, State assistance can be very valuable in providing the agency with information and comments based on knowledge of local groundwater problems. The State's role will, of course, depend upon the State's capabilities and interests. The Regional Administrator may work out memoranda of understanding with the State in order to determine its participation in the protection of groundwater quality in the area.

The content of these regulations is primarily procedural. EPA plans to initiate a study to provide technical guidance to EPA regional reviewers for the assessment of groundwater impact evaluations prepared by Federal agencies in three major project categories: (1) Multi-unit housing developments, (2) highways, and (3) sewage collection, treatment and disposal facilities. Forthcoming technical guidance will also contain a detailed outline of the information which should be provided by Federal agencies for those project categories. In the meantime, Section 1424(e) review will be carried out in conjunction with NEPA review as currently implemented.

Issues raised by the comments received regarding the interim guidelines and the disposition of these issues in these regulations are as follows.

Discussion of Major Comments

NON-DEGRADATION

Several comments were received concerning the meaning of "significant hazard to public health," suggesting that to allow any level of potential contaminant to enter the aquifer would be undesirable. These persons requested that a non-degredation requirement be included in the regulations (irrespective of any National Primary Drinking Water Regulations) to assure that no significant hazard to public health could occur. Other comments expressed concern for the quality of the reservoir water but requested that the regulations not be so restrictive as to prevent all development on the recharge zone or to interfere with the rights of the individual property owner.

The definition, "Significant hazard to public health," has been expanded in these regulations § 149.1 to better reflect the EPA position that any project receiving Federal financial assistance should be designed and constructed in such a manner that the level of contaminants from the project will not contribute to the degradation of the water quality in a sole or principal source aquifer to the point "which may require a public water system to install additional treatment to prevent such adverse effect."

EPA Notification and Review of Projects

Several comments were received requesting that EPA be notified of all Federal financially assisted projects in both the streamflow source zone and recharge zone. With regard to the review of projects in these zones, three persons requested that all projects be reviewed. One of these persons indicated a particular concern regarding an interim guidelines preamble statement noting that projects located in the streamflow source zone would be reviewed upon petition or an exceptional basis only. Other persons were concerned with the interim guidelines preamble statement that EPA would not review minor actions having an insignificant impact on the quality of the reservoir, such as individual home mortgage loans. One comment suggested that all projects reviewed under the guidelines provide an environmental impact statement (EIS) while another person requested that EPA urge other Federal agencies to prepare EIS's. These regulations specifically provide for EPA notification of projects, specify the ways in which review may be initiated, and clarify the relationship between review under Section 1424(e) and environmental review under the National Environmental Policy Act. (See the discussion of the definition of "project" below).

As discussed below under "Project Review," once an area is designated, the Regional Administrator has the discretionary authority to work out with regional Federal agencies any agreements or memoranda of understanding which are needed to supplement these regulations and to keep them informed of projects in the area.

Direct Federal Action

Three persons requested that direct Federal actions be reviewed under Section 1424(e). One person asked that the executive order be cited that requires Federal agencies to comply with environmental legislation, and another person asked how the aggregate impact of direct Federal actions would be evaluated. Direct Federal actions are not subject to EPA review under Section 1424(e) and, therefore, are not subject to these regulations. The EPA Office of General Counsel has determined that only projects or actions receiving Federal financial assistance are subject to such review under the terms of the Act. However, direct Federal actions are covered under Executive Order 11752, the purpose of which is to assure that the Federal Government (in the design, construction, management, operation and maintenance of its facilities) will provide leadership in the effort to protect and enhance the quality of the nation's air, water, and land resources through compliance with applicable standards in full cooperation with State and local governments. The effect of this order will be to protect the reservoir by assuring that Federal actions comply with the National Pollutant Discharge Elimination System, state water quality standards, and regulations to be promulgated under the Safe Drinking Water Act.

Definitions

A definition has been included in the general regulations for "Federal financial assistance" in order to clearly state the nature of the programs and actions that will be affected.

The definition for "Project" in these regulations differs from that in the Edwards Underground Reservoir interim project review guidelines in that the word "major" is not used. The deletion of the word "major" is consistent with EPA's intention to review any Federal financially assisted program or action which EPA determines could affect the quality of water in a sole or principal source aquifer whether or not the project has already been found to be a "major Federal project" under the National Environmental Policy Act (NEPA). This deletion of "major" with respect to these regulations clearly indicates that EPA is assuming full responsibility to review any project that might contaminate a principal or sole source aquifer, and is not delegating to other Federal agencies the responsibility to decide which projects should be subject to EPA review. Federal agencies that have granted or might grant Federal financial assistance to projects in the Edwards reservoir recharge zone or the streamflow source zone have been advised of the Edwards Underground Reservoir Determination. EPA is working with these Federal agencies to develop interagency procedures whereby EPA will be notified of all projects that could contaminate the reservoir water so as to create a significant hazard to public health. In addition, these regulations allow the EPA Regional Administrator to request lists of applications for Federal financial assistance from the local A–95 Clearinghouse.

The expansion in the regulations of the "Significant hazard to public health" definition reflects the EPA position as discussed under Non-degradation.

The definition "Commitment of Federal financial assistance" in these regulations notes that a "commitment" is a "written" agreement while the interim guidelines for the Edwards did not specify "written." Also, these regulations note that the renewal of a lapsed commitment could constitute a new commitment if the project's impact on the designated aquifer has not been previously reviewed "under section 1424(e)"; while the interim Edwards guidelines did not specify "under section 1424(e)."

Commitment of Federal Financial Assistance

Commenters asked if a project begun with State funds (such as a highway) and reimbursed with Federal funds, or a structure built with local funds but operated fully or in part with Federal funds is subject to section 1424(e) review.

Prior to a request for Federal financial assistance, a project will not be subject to review by EPA under section 1424(e). Each project for which financial assistance is requested will need to be evaluated on an individual basis. State and local agencies would be well-advised to anticipate the need to assess groundwater impact in order to obtain Federal reimbursement at a later date, by applying NEPA requirements and evaluating groundwater impact during the initial stages of a project.

PROJECT REVIEW AUTHORITY

Two commenters suggested that too much authority and discretionary power is delegated to the Regional Administrator and that the Administrator should have primary enforcement authority. Any responsibility delegated to the Regional Administrator is in line with EPA's policy of decentralization of authority. However, with regard to primary enforcement authority, these regulations, as did the Edwards interim guidelines, specify that only the Administrator may determine that a project may contaminate a designated aquifer through its recharge zone so as to create a significant hazard to public health.

SUBMISSION OF PETITIONS

EPA received several comments requesting that the petition information requirements in the interim guidelines be simplified. In these regulations the number of requirements have been reduced in order to facilitate petition preparation and to minimize the burden on the public.

DECISION TO REVIEW

Two comments inquired about the appeal procedure available in the event that the Regional Administrator decides not to review a project. One of these comments requested that a specific appeal procedure be included in the guidelines. No appeal procedure has been included in these regulations. The Regional Administrator's decision not to review or veto a project is the final administrative decision. If a person feels that the Agency has failed to fulfill the requirements of the Act, he may file a citizen's suit under section 1449 of the Act.

PUBLIC NOTICE OF REVIEW

Two persons commented that the interim guidelines provision for public notice (by such means as the Regional Administrator deems appropriate) is inadequate, and one requested further that a mailing list of concerned citizens be compiled to receive notifications. Another person requested that a similar mailing list be used to notify persons of all projects in the recharge and streamflow source zones.

The Regional Administrator, under these regulations as under the interim guidelines, will provide public notice of project review by such means as he deems appropriate. To require specific means of notification could, with regard to certain geographical areas, preclude use of the most effective means of adequate public notification. However, as discussed below, the Regional Administrator will also request a list of projects for which EIS's will be prepared and which are located in the recharge zone or streamflow source zones of the aquifer and will make this information available to the public upon request. He may also request lists of applications for Federal financial assistance from the local A-95 Clearinghouses.

CONSIDERATION OF STATE AND LOCAL CONTROLS

Several comments requested that EPA (as stated in the interim guidelines) rely to the maximum extent possible upon existing State control mechanisms in protecting the aquifer, and several noted that the extent and effectiveness of State and local controls over possible contaminant releases should be a factor in the review of projects. However, many persons objected to such consideration of State and local control mechanisms.

It is EPA's policy to encourage State and local agencies to develop and implement environmental control programs. To be consistent with this policy, State and local controls will be considered when a project is reviewed, since the extent of local control is relevant to considering the extent of contamination. However, these regulations also state any reliance on the states "will in no way constitute a delegation of project review authority, since this is clearly an EPA responsibility which may not be delegated."

CONSIDERATION OF PROJECT BENEFITS

The majority of the comments received concerning project benefits requested that expected benefits not be a factor for consideration in the review of a project. Section 149.17 specifies that "environmental" benefits of the proposed project are to be considered. The interim guidelines for the Edwards aquifer did not specify the nature of the benefits to be considered.

RESUBMITTAL OF REDESIGNED PROJECTS

Three comments were received concerning the resubmittal of projects. One stated that a public hearing was appropriate and two that a public hearing should be mandatory in the event a redesigned project is resubmitted for review.

As in the case of the interim guidelines, these regulations, § 149.18, provide that the Regional Administrator is authorized to request public comments or hold an informal hearing when appropriate. However, under these regulations only the Administrator (not the Regional Administrator as in the interim guidelines) can actually vacate an initial determination that a project may contaminate the aquifer.

WAIVER OF REQUIREMENTS

Comments were received regarding the provision for the waiver of requirements, § 149.10 in the interim guidelines. These comments stated that it would not be contrary to the public interest for the public to know about and participate in decisions regarding Federal financially assisted projects. It is EPA's policy to encourage public participation in matters of public interest, and no waiver of requirements provision is contained in these regulations.

DISCUSSION OF MISCELLANEOUS COMMENTS

Several comments were received that either do not directly relate to the interim guidelines and/or are not reflected in a change in these regulations. Included were the following questions: What steps should be taken to review the impact of existing features (such as railroads, highways, etc.) as a basis for evaluating new projects and considering the potential of spills? What State and Federal monitoring programs are proposed? What further research is being done on the bacteriological quality of storm water runoff? What control exists for contaminants (such as viruses) not covered by permits and stream standards? How will recreational use of the watershed be handled? One comment recommended that a control plan be required for the collection of storm water runoff from projects and that septic tanks, landfills, animal feeding operations, effluent discharges (including storm water runoff, and waste treatment plants) be excluded from the recharge zone. Another comment suggested that the interim guidelines were too procedural in nature and requested that they be more technical.

With respect to the monitoring and research concerns, a monitoring network is being established for the purpose for reviewing the impact of existing developments on the reservoir. Results of this monitoring will be used to evaluate the impact of existing projects on the reservoir as well as to predict the potential impact of future projects. EPA concurs that additional research on storm water runoff and other discharges is needed. Much of this research is underway. Under section 1442(a) of the Act, the Administrator is required to conduct studies on disposal of wastes that may affect groundwater, and on means of controlling contaminants, including viruses. Information from this research will be an important source of data to be used in considering the proper disposition of discharges from projects located both in and outside of the recharge zone.

In response to those comments requesting that EPA require certain controls or prohibit specific actions in the recharge zone, such restrictions relate to

land use planning. Land use planning is under local jurisdiction, and outside the scope of these regulations.

Dated: September 22, 1977.

DOUGLAS M. COSTLE,
Administrator.

40 CFR Part 149 is revised to read as follows:

Subpart A—General Provisions

Sec.
149.1 Applicability.
149.2 Definitions.

Subpart B—Project Review

149.10 Project review authority.
149.11 Public information.
149.12 Submission of petitions.
149.13 Decision to review.
149.14 Notice of review.
149.15 Request for information.
149.16 Public hearing.
149.17 Decision under section 1424(e).
149.18 Resubmittal of redesigned projects.
149.19 Funding to redesigned projects.

AUTHORITY: Sec. 1424(e), Safe Drinking Water Act (42 U.S.C. 300f, 300h, -3(e)); 80 Stat. 1660 et seq.; Pub. L. 93-523).

Subpart A—General Provisions

§ 149.1 Applicability.

This part sets forth, pursuant to section 1424(e) and 1450 of the Public Health Service Act, as amended by the Safe Drinking Water Act, Pub. L. 93-523, regulations relating the Edwards Underground Reservoir which is the sole or principal drinking water source for the San Antonio area and which, if contaminated, would create a significant hazard to public health.

§ 149.2 Definitions.

As used in these regulations and except as otherwise specifically provided, the term(s):

(a) "Act" means the Public Health Service Act, as amended by the Safe Drinking Water Act, Pub. L. 93-523.

(b) "Contaminant" means any physical, chemical, biological, or radiological substance or matter in water.

(c) "Recharge zone" means the area through which water enters the Edwards Underground Reservoir as defined in the December 16, 1975, Notice of Determination.

(d) "Administrator" (Regional Administrator) means the Administrator (Regional Administrator) of the United States Environmental Protection Agency.

(e) "Person" means an individual, corporation, company, association, partnership, state, or municipality.

(f) "Project" means a program or action for which an application for Federal financial assistance has been made.

(g) "Federal financial assistance" means any financial benefits provided directly as aid to a project by a department, agency, or instrumentality of the Federal government in any form including contracts, grants, and loan guarantees. Actions or programs carried out by the Federal government itself such as dredging performed by the Army Corps of Engineers do not involve Federal financial assistance. Actions performed for the Federal government by contractors, such as construction of roads on Federal lands by a contractor under the supervision of the Bureau of Land Management, should be distinguished from contracts entered into specifically for the purpose of providing financial assistance, and will not be considered programs or actions receiving Federal financial assistance. Federal financial assistance is limited to benefits earmarked for a specific program or action and directly awarded to the program or action. Indirect assistance, e.g., in the form of a loan to a developer by a lending institution which in turn receives Federal assistance not specifically related to the project in question is not Federal financial assistance under section 1424(e).

(h) "Commitment of Federal financial assistance" means a written agreement entered into by a department, agency, or instrumentality of the Federal Government to provide financial assistance as defined in paragraph (g) of this section. Renewal of a commitment which the issuing agency determines has lapsed shall not constitute a new commitment unless the Regional Administrator determines that the project's impact on the aquifer has not been previously reviewed under section 1424(e). The determination of a Federal agency that a certain written agreement constitutes a commitment shall be conclusive with respect to the existence of such a commitment.

(i) "Streamflow source zone" means the upstream headwaters area which drains into the recharge zone as defined in the December 16, 1975, Notice of Determination.

(j) "Significant hazard to public health" means any level of contaminant which causes or may cause the aquifer to exceed any maximum contaminant level set forth in any promulgated National Primary Drinking Water Standard at any point where the water may be used for drinking purposes or which may otherwise adversely affect the health of persons, or which may require a public water system to install additional treatment to prevent such adverse effect.

(k) "Aquifer" means the Edwards Underground Reservoir.

Subpart B—Project Review

§ 149.10 Project review authority.

(a) Once an area is designated, no subsequent commitments of Federal financial assistance may be made to projects which the Administrator determines may contaminate the aquifer so as to create a significant hazard to public health.

(b) The Regional Administrator is hereby delegated the authority and assigned responsibility for carrying out the project review process assigned to the Administrator under section 1424(e) of the Act, except the final determination that a project may contaminate the aquifer through its recharge zone so as to create a significant hazard to public health.

(c) The Regional Administrator may review any project which he considers may potentially contaminate the aquifer through its recharge zone so as to create a significant hazard to public health.

§ 149.11 Public information.

After the area is designated under section 1424(e), Federal agencies, for projects, located in the recharge zone and streamflow source zones, are required to:

(a) Maintain a list of projects for which environmental impact statements will be prepared in accordance with the National Environmental Policy Act (NEPA);

(b) Revise the list at regular intervals and submit to EPA; and

(c) Make the list available to the public upon request.

§ 149.12 Submission of petitions.

Any person may submit a petition requesting the Regional Administrator to review a project to determine if such project may contaminate the aquifer through its recharge zone so as to create a significant hazard to public health. Any such petition shall identify:

(a) The name, address, and telephone number of the individual, organization, or other entity submitting the petition;

(b) A brief statement of the requesting person's interest in the Regional Administrator's determination;

(c) The name of the project and Federal agency involved;

In addition, the petitioner is requested to submit to EPA available information on:

(d) Applicable action already taken by State and local agencies including establishment of regulations to prevent contamination of the aquifer and why, in the petitioner's judgment, the action was inadequate.

(e) Any actions taken under the National Environmental Policy Act and why, in the petitioner's judgment, that action was inadequate in regard to evaluation of potential effect on the aquifer.

(f) The potential contaminants involved;

(g) The means by which the contaminant might enter the aquifer; and

(h) The potential impact of the proposed project.

§ 149.13 Decision to review.

(a) The Regional Administrator shall review under section 1424(e) all projects located in the recharge or streamflow source zone of the aquifer for which a draft or final EIS is submitted which may have an impact on ground water quality and which involve Federal financial assistance as defined in these regulations.

(b) Upon receipt of a public petition, the Regional Administrator shall decide whether the project which is the subject of the petition should be reviewed under section 1424(e).

(c) The Regional Administrator may decide to review a project upon his own motion.

(d) In determining whether to review a project upon receipt of a public petition or upon his own motion, the Re-

gional Administrator shall consider whether the project is likely to directly or indirectly cause contamination of the aquifer through its recharge zone, taking into account any factors he deems relevant, including:

(1) The location of the project, and

(2) The nature of the project.

(e) In determining whether to review a project upon receipt of a public petition or upon his own motion, the Regional Administrator may consult with, or request information from, the Federal agency to which the project application has been made, the applicant seeking Federal assistance, appropriate State and local agencies, and other appropriate persons or entities.

(f) In determining whether to review a project which is the subject of a public petition, the Regional Administrator may request such additional information from the petitioner as he deems necessary.

§ 149.14 Notice of review.

(a) *Notice to Federal agency.* If the Regional Administrator decides upon receipt of a public petition or upon his own motion to review a project under section 1424(e), he shall give written notification of the decision to the Federal agency from which financial assistance is sought. The notification shall include a description and identification of the project.

(b) *Notice to public.* When the Regional Administrator undertakes to review a project pursuant to § 149.13 above, he shall provide public notice of project review by such means as he deems appropriate. The notice shall set forth the availability for public review of all data and information available, and shall solicit comments, data and information with respect to the determination of impact under section 1424(e). The period for public comment shall be 30 days after public notice unless the Regional Administrator extends the period at his discretion or a public hearing is held under § 149.16.

§ 149.15 Request for information.

In reviewing a project under section 1424(e), the Regional Administrator may request any additional information from the funding Federal agency which is pertinent to reaching a decision. If full evaluation of the groundwater impact of a project has not been submitted in accordance with the agency's NEPA procedures, the Regional Administrator may specifically request that the Federal agency submit a groundwater impact evaluation of whether the proposed project may contaminate the aquifer through its recharge zone so as to create a significant hazard to public health.

§ 149.16 Public hearing.

If there is significant public interest, the Regional Administrator may hold a public hearing with respect to any project or projects to be reviewed if he finds that such a hearing is necessary and would be helpful in clarifying the issues. Public hearings held under this section should be coordinated, if possible, with other Federal public hearings held pursuant to applicable laws and regulations. Any such hearing shall be conducted by the Regional Administrator or designee in an informal, orderly and expeditious manner. Where appropriate, limits may be placed upon the time allowed for oral statements, and statements may be required to be submitted in writing. The record will be held open for further public comment for seven (7) days following the close of the public hearing.

§ 149.17 Decision under section 1424(e).

(a) As soon as practicable after the submission of public comments under section 1424(e) and information requested by the Environmental Protection Agency from the originating Federal agency, on the basis of such information as is available to him, the Regional Administrator shall review the project taking all relevant factors into account including:

(1) The extent of possible public health hazard presented by the project;

(2) Planning, design, construction, operation, maintenance and monitoring measures included in the project which would prevent or mitigate the possible health hazard;

(3) The extent and effectiveness of State or local control over possible contaminant releases to the aquifer;

(4) The cumulative and secondary impacts of the proposed project; and

(5) The expected environmental benefits of the proposed project.

(b) After reviewing the available information, the Regional Administrator shall:

(1) Determine that the risk of contamination of the aquifer through the recharge zone so as to create a significant hazard to public health is not sufficiently great so as to prevent commitment of Federal funding to the project; or

(2) Forward the information to the Administrator with his recommendation that the project may contaminate the aquifer through the recharge zone so as to create a significant hazard to public health.

(c) After receiving the available information forwarded by the Regional Administrator, the Administrator shall:

(1) Determine that the risk of contamination of the aquifer through the recharge zone so as to create a significant hazard to public health is not sufficiently great so as to prevent commitment of Federal funding to the project; or

(2) Determine that the project may contaminate the aquifer through the recharge zone so as to create a significant hazard to public health.

(d) Notice of any decisions by the Regional Administrator under paragraph (b)(1) of this section or by the Administrator under paragraphs (c)(1) and (c)(2) of this section to prevent a commitment of Federal funding shall be published in the FEDERAL REGISTER. Such notices shall include a description of the proposed project, and a statement of decision with an accompanying statement of facts and reasons.

§ 149.18 Resubmittal of redesigned projects.

If a project is redesigned in response to EPA's objections, the applicant for Federal financial assistance or the grantor agency may file a petition with the Regional Administrator for withdrawal of the determination that the project may contaminate the aquifer through the recharge zone so as to create a significant hazard to public health. Any such petition shall demonstrate how the project has been redesigned so as to justify the withdrawal of EPA's objections. If appropriate, the Regional Administrator may request public comments or hold an informal public hearing to consider the petition. After review of pertinent information, the Regional Administrator shall either deny the petition or recommend to the Administrator that the initial determination that a project may contaminate the aquifer be vacated. Upon receipt of a recommendation from the Regional Administrator that a determination be vacated, the Administrator shall either deny the petition or order that the initial determination be vacated. The final decision regarding a petition shall be published in the FEDERAL REGISTER with an accompanying statement of reasons.

§ 149.19 Funding to redesigned projects.

After publication of a decision that a proposed project may contaminate a sole or principal source aquifer in a designated area through its recharge zone so as to create a significant hazard to public health, a commitment for Federal financial assistance may be entered into, if authorized under another provision of law, to plan or redesign such project to assure that it will not so contaminate the aquifer.

[FR Doc.77-28694 Filed 9-28-77;8:45 am]

[6506-01]

[FRL 799-7; PP 6E1792/R136]

PART 180—TOLERANCES AND EXEMPTIONS FROM TOLERANCES FOR PESTICIDE CHEMICALS IN OR ON RAW AGRICULTURAL COMMODITIES

Aldicarb

AGENCY: Office of Pesticide Programs, Environmental Protection Agency.

ACTION: Final rule.

SUMMARY: This rule establishes a tolerance for residues of the insecticide aldicarb. The amendment to the regulations was proposed by Union Carbide Corp. This rule will establish a maximum permissible level for residues of aldicarb on bananas.

EFFECTIVE DATE: September 29, 1977.

FOR FURTHER INFORMATION CONTACT:

Mr. Frank Sanders, Product Manager (PM) 12, Registration Division (WH-567), Office of Pesticide Programs, EPA, 401 M Street, SW., Washington, D.C. (202-426-9425).

SUPPLEMENTARY INFORMATION: On July 22, 1977, the EPA published a notice of proposed rulemaking in the FEDERAL REGISTER (42 FR 37578) in response to a pesticide petition (PP 6E1792) submitted to the Agency by Union Carbide Corp., 1730 Pennsylvania Ave., NW., Washington, D.C. 20460. This petition proposed that 40 CFR 180.269 be amended by the establishment of a tolerance for combined residues of the insecticide aldicarb (2-methyl-2-(methylthiopropionaldehyde *O*-(methylcarbamoyl) oxime and its cholinesterase-inhibiting metabolites 2-methyl-2-(methylsulfinyl) propionaldehyde *O*-methylcarbamoyl) oxime and 2-methyl-2-(methylsulfonyl) propionaldehyde *O*-methylcarbamoyl) oxime in or on the raw agricultural commodity bananas at 0.3 part per million (ppm). No comments or requests for referral to an advisory committee were received in response to this notice of proposed rulemaking.

It has been concluded, therefore, that the proposed amendment to 40 CFR 180.269 should be adopted without change, and it has been determined that this regulation will protect the public health.

Any person adversely affected by this regulation may, on or before October 31, 1977, file written objections with the Hearing Clerk, EPA, Rm. 1019, East Tower, 401 M St., SW., Washington, D.C. 20460. Such objections should be submitted in quintuplicate and specify 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 the grounds legally sufficient to justify the relief sought.

Effective on the date of publication in the FEDERAL REGISTER, Part 180, Subpart C, section 180.269 is amendd by adding a tolerance for residues of aldicarb on bananas at 0.3 ppm as set forth below.

(Sec. 408(e) of the Federal Food, Drug, and Cosmetic Act (21 U.S.C. 346a(e)).)

Dated: September 23, 1977.

EDWIN L. JOHNSON,
Deputy Assistant Administrator for Pesticide Programs.

Part 180, Subpart C, section 180.269 is amended by alphabetically inserting the new item "bananas" in the table as follows:

§ 180.269 Aldicarb: tolerances for residues.

* * * * *

Commodity:	*Parts per million*
* * * * *	
Bananas	0.3
* * * * *	

[FR Doc.77-28719 Filed 9-28-77;8:45 am]

[4310-]

Title 43—Public Lands: Interior

CHAPTER II—BUREAU OF LAND MANAGEMENT, DEPARTMENT OF THE INTERIOR

SUBCHAPTER A—GENERAL MANAGEMENT (1000)

[Circular No. 2427]

PART 1880—FINANCIAL ASSISTANCE, LOCAL GOVERNMENTS

Payments in Lieu of Taxes

AGENCY: Bureau of Land Management, Interior.

ACTION: Final rulemaking.

SUMMARY: The Department of the Interior is adopting procedures for payments in lieu of taxes to qualified local units of general government under the Act of October 20, 1976. The intended effect of these procedures is to relieve the fiscal burden of tax exempt Federal land within the boundaries of local units of government.

DATE: Effective September 30, 1977.

ADDRESS: Director (520), Bureau of Land Management, 1800 C Street, NW., Washington, D.C. 20240.

FOR FURTHER INFORMATION CONTACT:

Edward P. Greenberg, Division of Finance (520), Bureau of Land Management, 1800 C Street, NW., Washington, D.C. 20240, (202-343-3624).

SUPPLEMENTARY INFORMATION: The principal author of this final rulemaking is Billy R. Templeton of the Bureau of Land Management, Division of Legislation and Regulatory Management, assisted by Lyle Rising of the Office of the Solicitor, Department of the Interior.

Proposed rulemaking, setting forth procedures for making payments to qualified local units of general government under the Act of October 20, 1976 (31 U.S.C. 1601 et seq.), was published in the FEDERAL REGISTER of August 8, 1977. Public comments had been invited several weeks prior to that date and additionally for 30 days after, for a period ending September 8, 1977. The major comments received are discussed below by the section of the rulemaking addressed.

§ 1881.0-5 DEFINITIONS

1. The major comment received during the period prior to the publication of proposed rulemaking concerned the eligibility of township level governments in the State of Michigan to receive payments under the Act. Comments on the same issue were received during the comment period after publication of the proposed rulemaking.

An analysis of the statistical data available indicates that the county is the principal taxing body and provider of general government services on the local level in the State of Michigan. Therefore, the definition section is essentially unchanged and the following list of local units of general government are the ones determined qualified to receive payments under the Act.

Alabama	Counties.
Alaska	Boroughs, and the cities of Juneau and Sitka (City/Boroughs) and the independent municipality of Anchorage.
Arizona	Counties.
Arkansas	Do.
California	Counties, and the city of San Francisco (City/County).
Colorado	Counties, and the city of Denver (City/County).
Connecticut	Towns.
Delaware	Counties.
District of Columbia	City of Washington.
Florida	Counties, and the County of Duval (City of Jacksonville).
Georgia	Counties, and the independent city of Columbus.
Guam	Guam.
Hawaii	Counties, and the city of Honolulu (City/County).
Idaho	Counties.
Illinois	Do.
Indiana	Counties, and the County of Marion (City of Indianapolis).
Iowa	Counties.
Kansas	Do.
Kentucky	Do.
Louisiana	Parishes, and the Parish of Orleans (City of New Orleans) and Parish of East Baton Rouge (City of Baton Rouge).
Maine	Towns.[1]
Maryland	Counties, and the independent city of Baltimore.
Massachusetts	Towns[1] and County of Nantucket (Township of Nantucket), and County of Suffolk (City of Boston).
Michigan	Counties.
Minnesota	Do.
Mississippi	Do.
Missouri	Counties, and the independent city of St. Louis.
Montana	Counties.
Nebraska	Do.
Nevada	Counties, and the independent city of Carson City.
New Hampshire	Towns.[1]
New Jersey	Counties.
New Mexico	Do.
New York	Counties (counties of Bronx, Kings, New York, Queens, and Richmond are all New York City).
North Carolina	Counties.
North Dakota	Do.
Ohio	Do.
Oklahoma	Do.
Oregon	Do.

Pennsylvania	Counties, and the County of Philadelphia (City of Philadelphia).
Puerto Rico	The Commonwealth.
Rhode Island	Towns.[1]
South Carolina	Counties.
South Dakota	Counties, except Shannon, Todd, and Washabough which are attached to other counties for government purposes.
Tennessee	Counties, and the metropolitan government of Nashville and Davidson County.
Texas	Counties.
Utah	Do.
Vermont	Towns.[1]
Virginia	Counties, and the independent cities.
Virgin Islands	Virgin Islands.
Washington	Counties.
West Virginia	Do.
Wisconsin	Do.
Wyoming	Do.

[1] Where organized town governments exist. If towns are unincorporated or the town governments are inactive, payments shall be made to counties.

2. The issue of entitlement as related to lands owned or administered by State and local governments and exempt from State and local taxes at the time of their acquisition by the Federal government was commented upon in two contexts: a. Exchange lands and b. lands upon which payments in lieu of taxes were being made to local units of governments by States at the time of acquisition by the Federal government.

Section 6(a)(4) of the Act is specific with regard to lands which were exempt from real estate taxes at the time of their acquisition. The Act precludes consideration of such lands as entitlement lands.

3. It was reported that in New Hampshire the State government performs those functions normally considered local government functions in unincorporated places in the State. It was suggested that the State be the qualified unit of local government in those areas. The definition of "unit of local government" in section 6(c) of the Act precludes the State as a unit of local government qualified to receive payments under the Act.

4. It was suggested that the definition of "money transfers" be changed to provide that funds received by qualified units of local government under the laws cited in section 4 of the Act and passed through to single purpose units of government, such as school districts, not be counted as a deduction against payments under the Act.

Section 2(a)(1) specifically requires that payment be reduced by the amount received by units of local government, in aggregate, under the laws cited in section 4. This cannot be changed by regulation.

§ 1881.2 USE OF PAYMENTS

1. It was suggested that section 1881.2 with regard to section 1 payments be reworded to read more restrictively regarding pass-throughs of moneys under the Act.

2. It was also suggested that the rules provide for conference with and consideration of the needs of lower levels of general government by the recipient of payments in the development of spending priorities. The language used is directly from the Act which states that the funds may be used for any governmental purpose. Limitations cannot be placed upon the use of these funds by regulations.

GENERAL COMMENTS

The following comments do not address a specific section of the proposed rulemaking.

1. It was suggested that an economic impact analysis under Executive Order 11821 and OMB Circular A-107 is required.

It was determined that no economic impact statement is required because possible inflationary impacts of the Act were considered by the Congress (see House report 94-1106, page 16). After such consideration, the Act was signed into law by the President directing the Secretary to make payments to the extent that funds are made available, in advance, in appropriation Acts.

2. It was commented that to make all payments to the States and have them pass the money through would be a good system to handle the payments.

This system of handling payments would not be consistent with the Act.

3. Also, concern was expressed that funds now being received might be diverted to other purposes by the new regulations. This is not the case. Any payments authorized to be made under this Act are new revenues to be used for any governmental purposes.

4. Editorial changes and corrections have been made as necessary.

Accordingly, under the authority of the Act of October 20, 1976 (31 U.S.C. 1601 et seq.) Group 1800, Subchapter A, Chapter II, Title 43 of the Code of Federal Regulations is amended by adding Part 1880 to read as follows:

GUY R. MARTIN,
Assistant Secretary of the Interior.

SEPTEMBER 23, 1977.

Subpart 1881—Payments in Lieu of Taxes

Sec.

1881.0-1 Purpose.
1881.0-3 Authority
1881.0-5 Definitions.
1881.1 Procedures.
1881.1-1 Procedures, general.
1881.1-2 Procedures, Section 1 payments.
1881.1-3 Procedures, Section 3 payments.
1881.1-4 Procedures, Absence of Information.
1881.2 Use of payments.
1881.3 Protests.
1881.4 Appeals.

§ 1881.0-1 Purpose.

The regulations establish procedures for making payments in lieu of taxes to units of local government for certain federal lands within their boundaries.

§ 1881.0-3 Authority.

The authority for these regulations is the Act of October 20, 1976, Pub. L. 94-565, 90 Stat. 2662, 31 U.S.C. §§ 1601-1607, hereinafter referred to as "the Act."

§ 1881.0-5 Definitions.

(a) A "government," as that term is used by the Bureau of the Census for general statistical purposes, is an organized entity having substantial autonomy and whose officers are either popularly elected or appointed by publicly elected officials. Other indicia of governmental character include (1) a high degree of responsibility to the public for performance of duties of a governmental nature, (2) power to levy taxes, and (3) power to issue debt paying interest exempt from Federal taxation.

(b)(1) "Unit of general government" means a unit of that type of government which, within its state, is the principal provider of governmental services affecting the use of entitlement lands. Those services of government include (but are not limited to) maintenance of land records, police protection, fire protection, taxation, land use planning, search and rescue and road construction. Ordinarily, a unit of general government will be a county. However, where a smaller unit of government is the principal provider of governmental services affecting the use of public lands within a state, the smaller unit, even though within a larger unit of government, will be considered a general unit of government and will receive payments under the Act. These units of general government will ordinarily be "towns" or townships within states where county governments are nonexistent or nearly nonexistent. The term "unit of general government" also includes:

(i) Governments with the functions of a unit of general government in that state combined with another type of government such as city, township, parish, borough or county, e.g., a city and county as in the City and County of Denver.

(ii) Cities located outside of any of the units of general government for that state and administering functions commonly performed by those units of general government.

(iii) Alaskan boroughs in existence on October 20, 1976.

(iv) The Governments of the District of Columbia, Puerto Rico, Guam and the Virgin Islands.

(2) The term "unit of general government" excludes single purpose or special purpose units of local government such as school districts or water districts.

(c)(1) "Entitlement lands" are lands owned by the United States which are:

(i) Within the National Park System including wilderness areas;

(ii) Within the National Forest System including wilderness areas and also including those areas of Superior National Forest, Minnesota, set forth in 16 U.S.C. §§ 577d and 577d-1 (1970);

(iii) Administered by the Secretary of the Interior through the Bureau of Land Management;

(iv) Water resource projects administered by the Bureau of Reclamation or Corps of Engineers; or

(v) Dredge disposal areas administered by the Corps of Engineers.

(2) "Entitlement lands" do not include:

(i) Lands which were owned or administered by State and local governments which at time of acquisition by the Federal government were not subject to State and local taxes.

(ii) Any land for which any money was paid to a unit of local government pursuant to the Act of August 28, 1937 (50 Stat. 875) or the Act of May 24, 1939 (53 Stat. 753) in that fiscal year.

(d) "Money transfers" means those money or cash payments made by or through the State government to units of local government pursuant to the laws set forth in section 4 of the Act.

(e) "Authorized officer" means that official within the Bureau of Land Management delegated the authority to carry out the provisions of the Act.

§ 1881.1 Procedures.

§ 1881.1–1 Procedures, general.

(a) The minimum payment shall be $100 to any one unit of local government under both sections 1 and 3 of the Act, in aggregate.

(b) If money actually appropriated by Congress for distribution during any fiscal year is insufficient to provide full payment to each unit of local government, all payments due to eligible recipients in that fiscal year shall be reduced proportionally, to the extent determined necessary by the authorized officer.

§ 181.1–2 Procedures, Section 1 payments.

(a) The authorized officer shall determine which governments are units of general government eligible to receive payments under section 1 of the Act in accordance with section 6(c) of the Act and the definitions in § 1881.0–5 of these regulations. In resolving questions about the eligibility of any unit of general government and the status of entitlement lands, the authorized officer may consult with the Bureau of the Census, officials of the appropriate State and local government, and officials of the agency administering the entitlement lands.

(b) In order to determine which units of local government are entitled to receive payments under the act, the authorized officer shall obtain the data necessary for making computations pursuant to the formula in section 2 of the Act as follows:

(1) The amount of entitlement lands within the boundaries of each unit of local government as of the last day of the fiscal year proceeding the fiscal year for which the payment is to be made and the amount of payments made directly to those governments pursuant to the laws listed in section 4 of the Act shall be obtained from the administering Federal agencies;

(2) The amount of money transfers made by the State to eligible units of local government pursuant to the laws listed in section 4 of the Act shall be obtained from the Governor or his designated officials;

(3) The population of each unit of local government shall be obtained from current Bureau of the Census statistics.

(c) The authorized officer shall compute and certify the amount of payment to be made each unit of local government based on (1) the formula and limitations set forth in section 2 of the Act and (2) the amount of actual appropriations.

(d) No computation will be certified by the authorized officer for payment until the Governor of the State in which the unit of local government is located or his delegate has provided the authorized officer with:

(1) a statement of the amount of all money transfers received during the previous fiscal year[2] by each entitled unit of local government from the State from revenues derived under those laws listed in Section 4 of the Act; and

(2) to the extent practicable, a determination that those lands formerly owned or administered by a State or local government and acquired by the Federal Government were subject to State and local real property taxes at the time of conveyance to the Federal Government.

§ 1881.1–3 Procedures, Section 3 payments.

(a) The authorized officer shall make payments to qualified units of local government under section 3 of the Act, provided that the administering agencies supply information as follows:

(1) Acreage or interests in land for which payments are authorized within the boundaries of each qualified unit of local government; and

(2) Such other information as may be required to certify payments to qualified units of local government.

(b) Payments in excess of $100 received by counties shall be distributed by those counties to affected units of local government and affected school districts, in accordance with section 3 of the Act, within 90 days of the receipt of such payment. Distribution shall be in proportion to the tax revenues received by the affected units of local government and school districts in the year prior to acquisition of the entitlement lands by the Federal Government.

(c) A certification by the county involved that appropriate distribution of funds has been made shall be submitted to the authorized officer within 120 days after the date that payments are received.

§ 1881.1–4 Procedures, Absence of information.

The authorized officer shall certify payments under the Act only to the extent sufficient data is available to determine the amount due the qualified units of local government.

§ 1881.2 Use of Payments.

The monies paid to entitled units of local government may be used for any governmental purpose, except as noted in section 1881.1–3(b) of this Part.

§ 1881.3 Protests.

(a) Computation of payments shall be based upon Federal land records, population data from the Bureau of the Census, payments made to units of local government through State government under the laws listed in section 4 of the Act as reported by State Governors, Federal payments made directly to units of local government under the laws listed in section 4 of the Act as reported by the disbursing Federal agency.

(b) Any affected unit of local government may protest the results of the computations of its payment to the authorized officer.

(c) Any protesting unit of local government shall submit sufficient evidence to show error in the computations or the data on which the computations are based.

(d) All protests to the authorized officer shall be filed by the first business day of the calendar year following the end of the fiscal year for which the payments were made.

(e) The authorized officer shall consult with the affected unit of local government and the administering agency to resolve conflicts in land records and other data sources.

§ 1881.4 Appeals.

Any affected unit of local government whose protest has been rejected by the authorized officer may appeal to the Interior Board of Land Appeals pursuant to the provisions of 43 CFR, Part 4.

[FR Doc.77-28601 Filed 9-28-77;8:45 am]

[2] For Fiscal Year 1977, the transition quarter, July 1, 1976 to September 30, 1976, shall be excluded.

Title 45—Public Welfare

CHAPTER II—SOCIAL AND REHABILITATION SERVICE (ASSISTANCE PROGRAMS) DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

PART 201—GRANTS TO STATES FOR PUBLIC ASSISTANCE PROGRAMS

Correction—Title Change—Medical Assistance Program

AGENCY: Health Care Financing Administration, HEW.

ACTION: Final rule.

SUMMARY: This rule corrects an error in designation of officials authorized to defer payment of claims and disallow Federal financial participation in claims made under the Medicaid program (title XIX, Social Security Act). Amendments published September 1, 1977 (42 FR 43977) to reflect the recent HEW reorganization inadvertently failed to include the proper delegations on these matters made under administrative authority.

EFFECTIVE DATE: June 20, 1977.

FOR FURTHER INFORMATION CONTACT:

Margaret O. Shnoor, 202–245–1960.

SUPPLEMENTARY INFORMATION: The September 1, 1977 amendments to Medicaid regulations were intended to eliminate references to the Regional Commissioner, Social and Rehabilitation Service (SRS), to comport with the new organizational structure of HCFA. They were not designed to change any of the delegations of authority made within the Department under the Departmental Reorganizational Order published on March 9, 1977 (42 FR 13262), and by administrative delegation after the effective date of that Order.

The September 1 amendment inadvertently vested in the Regional Medicaid Directors the authority to disallow funds and to defer payment of claims (45 CFR 201.14, 201.15), which previously had been exercised by the SRS Regional Commissioners. However, after the abolition of SRS, this authority reverted to the Administrator of HCFA, and was subsequently delegated to the Assistant Administrator for Financial Management, and the Associate Administrator for Medicaid (now designated as Director, Medicaid Bureau), to be exercised by them in addition to the Administrator. Since the September 1 amendment was not intended to change these delegations, this correction is necessary.

This correction is retroactive to June 20, 1977 which was the effective date of the September 1, 1977 amendment which this regulation corrects. This correction reinstates those delegations which were made administratively within HCFA by the Administrator or his designees from the period after June 20, 1977 to the present. All such delegations of authority to defer claims or to disallow State expenditures for Medicaid remain in effect.

The Department finds that there is good cause to dispense with notice of proposed rulemaking since this change is required to correct an inadvertent error in delegated authority made in the amendments published September 1.

Part 201, Chapter II, Title 45, Code of Federal Regulations is amended as set forth below.

1. Paragraph 201.14(b)(1) is changed to read as follows:

§ 201.14 Reconsideration under section 1116(d) of Act.

* * * * *

(b) *Notice of disallowance determination.*

(1) When the Regional Commissioner or, with respect to the medical assistance program under title XIX, the Administrator, Health Care Financing Administration or his designee, determines that a State claim for FFP in expenditures for a particular item or class of items is not allowable, he shall promptly issue a disallowance letter to the State.

* * * * *

2. Section 201.15(c) is amended to read as follows:

§ 201.15 Deferral of claims for Federal financial participation.

* * * * *

(c) *Procedures.* (1) A claim or any portion of a claim for reimbursement for expenditures reported on the Quartely Statement of Expenditures shall be deferred only when the Regional Commissioner or, with respect to the medical assistance program under title XIX, the Administrator, Health Care Financing Administration, or his designee (hereinafter collectively referred to as the Administrator) believes the claim or a specific portion of the claim is of questionable allowability. The deferral action will be taken within 60 days after receipt of a Quarterly Statement of Expenditures prepared in accordance with instructions issued by the Service.

(2) When deferral action is taken on a claim, the Regional Commissioner or the Administrator will within 15 days send written notice to the State identifying the type and amount of the claim and the reason for deferral. In the written notice of the deferral action, the Regional Commissioner or the Administrator will request the State to make available for inspection all documents and materials which the Regional office or the Administrator then believes necessary to determine the allowability of the claim.

(3) Within 60 days of receipt of the notice of deferral action described in paragraph (c)(2) of this section the State shall make available to the Regional office, in readily reviewable form, all requested documents and materials, or when necessary, shall identify those documents and items of information which are not available. If the State requires additional time to make the documents and material available, it shall upon request be given an additional 60 days.

(4) The Regional office will normally initiate the review within 30 days of the date that materials become available for review.

(5) If the Regional Commissioner or Regional Medicaid Director finds that the documents and materials are not in readily reviewable form or that supplemental information is required, he will promptly notify the State. The State will have 15 days from the date of notification to complete the action requested. If the Regional Commissioner or the Administrator finds that the documents necessary to determine the allowability of the claim are not made available within the allowed time limits, or that the documents are not made available in readily reviewable form, he shall promptly disallow the claim.

(6) The Regional Commissioner or the Administrator will have 90 days after all documentation is available in readily reviewable form to determine the allowability of the deferred claim. If he is unable to complete the review within the time period the claim will be paid subject to a later determination of allowability.

(7) It is the responsibility of the State agency to establish the allowability of a deferred claim.

(8) The Regional Office or th eAdministrator will notify the State in writing of the decision on the allowability of the deferred claim.

(9) If a deferred claim is disallowed, the Regional Commissioner or the Administrator shall advise the State of its right to reconsideration pursuant to § 201.14.

(10) A decision to pay a deferred claim shall not preclude a subsequent disallowance as a result of an audit exception or financial management review. If a subsequent disallowance should occur, the State, upon request shall be granted reconsideration pursuant to § 201.14.

(Sec. 1102, 49 Stat. 647 (42 U.S.C. 1302).)

(Catalog of Federal Domestic Assistance Program No. 13.714, Medical Assistance Program.)

Dated: September 21, 1977.

WILLIAM D. FULLERTON,
Acting Administrator, Health Care Financing Administration.

Approved: September 26, 1977.

JOSEPH A. CALIFANO, Jr.,
Secretary.

[FR Doc.77-28737 Filed 9-28-77;8:45 am]

[4110]

PART 249—SERVICES AND PAYMENT IN MEDICAL ASSISTANCE PROGRAMS

Contracts for Providing or Paying for Services

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

ACTION: Final rule.

SUMMARY: This document changes the effective date of the regulations on contracts under the medical assistance program (Medicaid, title XIX, Social Security Act) is taken to avoid unduly penalizing States for certain problems stemming from the lead time provided for meeting requirements.

FOR FURTHER INFORMATION CONTACT:

Henry Spiegelblatt, 202–245–0398.

SUPPLEMENTARY INFORMATION: Final regulations (45 CFR 249.82) on State Medicaid contracts for provision of medical or administrative services were published on May 9, 1975 (40 FR 20516), effective August 9, 1975. The regulations specify provisions that must be included in contracts between State Medicaid agencies and health insuring organizations, health maintenance organizations, fiscal agents and certain other contractors. They also contain administrative requirements to be met by State agencies in executing contracts, and conditions for obtaining Federal matching for State expenditures under the contracts.

Experience since publication of the regulations indicates that both States and HEW Regional Offices needed a greater lead time than was provided in order to put the regulations into full effect. Major changes from the previous requirements meant corresponding changes in State contracting procedures and policies, and the new requirement for HEW prior approval of large contracts created an additional workload for Regional staff that proved difficult to accommodate. Consequently, a number of States were unable to meet one or more specific requirements in a timely fashion and Regions were unable to provide technical assistance to the extent necessary to help States overcome these problems.

The penalty on States for failure to meet the requirements is denial of Federal matching for the contract expenditures. In retrospect, the Department has determined that this is an unduly severe action given the circumstances existing at the time the regulations went into effect. Accordingly, the original effective date is rescinded and a new effective date of August 9, 1976, is established. The Department finds good cause to dispense with proposed rulemaking and issue this change in final, since it will eliminate the need to impose a harsh financial penalty on States and will not disadvantage any party.

(Sec. 1102, 49 Stat. 647 (42 U.S.C. 1302).)

(Catalog of Federal Domestic Assistance Program No. 13.714, Medical Assistance Program.)

NOTE.—The Health Care Financing Administration has determined that this document does not require preparation of an Economic Impact Statement under Executive Order 11821, as amended by Executive Order 11949, and OMB Circular A-107.

Dated: August 27, 1977.

ROBERT A. DERZON,
Administrator, Health Care, Financing Administration.

Approved: September 26, 1977.

JOSEPH A. CALIFANO, Jr.,
Secretary.

[FR Doc.77-28736 Filed 9-28-77;8:45 am]

[6712-01]

Title 47—Telecommunication

CHAPTER I—FEDERAL COMMUNICATIONS COMMISSION

[Docket No. 20775]

PART 2—FREQUENCY ALLOCATIONS AND RADIO TREATY MATTERS; GENERAL RULES AND REGULATIONS

PART 83—STATIONS ON SHIPBOARD IN MARITIME SERVICES

Providing Clarification and Modification of the Rules for Emergency Position Indicating Radiobeacons on the Frequencies 121.5 and 243 MHz; Correction

AGENCY: Federal Communications Commission.

ACTION: Final rule; correction.

SUMMARY: This errata is required to correct certain editorial matter in the Report and Order, Docket No. 20775, released September 6, 1977.

ADDRESS: Federal Communications Commission, Washington, D.C. 20554.

FOR FURTHER INFORMATION CONTACT:

Robert C. McIntyre, Safety and Special Radio Services Bureau, 202-632-7197.

SUPPLEMENTARY INFORMATION: Released: September 27, 1977.

In the matter of Amendment of Parts 2 and 83 of the Commission's rules to provide clarification and modification of the rules for emergency position indicating radiobeacons on the frequencies 121.5 and 243 MHz.

1. In the Report and Order in the above-captioned matter, FCC 77-583, paragraph 1, incorrectly stated that the Notice of Proposed Rulemaking amended Parts 81 and 83 of the rules. This should be corrected to read: Parts 2 and 83 of the rules.

2. The rule parts affected by this proceeding were inadvertently omitted from the Ordering paragraph. Accordingly, paragraph 13 should be modified to state that Parts 2 and 83 of the Commission's rules are amended effective October 11, 1977, to read as follows:

13. Accordingly, it is *ordered*, That pursuant to the authority contained in Sections 4(i) and 303(r) of the Communications Act of 1934, as amended, Parts 2 and 83 of the Commission's Rules are amended effective October 11, 1977, as set forth in the attached Appendix.

3. As an ancillary matter, the Report and Order as printed in the FEDERAL REGISTER, 42 FR 44986, with the exceptions set out in paragraphs 1 and 2 above was correct. However, some of the copies of the Report and Order were distributed by the Commission in which page 2 of the text of the Report and Order was erroneously printed in place of page 2 of the Appendix. The corrected page 2[1] of the Appendix is attached hereto.

FEDERAL COMMUNICATIONS COMMISSION,
VINCENT J. MULLINS,
Secretary.

[FR Doc.77-28672 Filed 9-28-77;8:45 am]

[4910-58]

Title 49—Transportation

CHAPTER VIII—NATIONAL TRANSPORTATION SAFETY BOARD

PART 801—PUBLIC AVAILABILITY OF INFORMATION

Fee Schedule

AGENCY: National Transportation Safety Board.

[1] Page 2 is filed as a part of the original document.

ACTION: Final rule.

SUMMARY: This revision sets forth price and other changes for the reproduction of factual investigative records and other documents available from the National Transportation Safety Board (Board) under the Freedom of Information Act. Certain changes in the fee schedule are now required to reflect the terms of a new contract with the commercial reproducer and to indicate revisions in the minimum charge for reproduction and the cost for photographic prints.

EFFECTIVE DATE: October 1, 1977.

FOR FURTHER INFORMATION CONTACT:

Fritz L. Puls, General Counsel, National Transportation Safety Board, Washington, D.C. 20594 (202-426-8911).

SUPPLEMENTARY INFORMATION: Pursuant to section (a)(4)(A) of the Freedom of Information Act (Pub. L. 93-502, November 21, 1974, amending 5 U.S.C. 552) (Act), fee schedules for publications must be published in the FEDERAL REGISTER. In 1975, after notice, the Board issued its regulations implementing the Act. In an amended Appendix 49 CFR Part 801, which was published at 41 FR 39759, September 16, 1976, a price list for documents published by or available from the Board was established, based on the provisions of the then current contract between the Board and the commercial reproducer. That contract terminates on September 30, 1977, and the Board has entered into a new contract.

Because the price and other changes in the fee schedule were subject to and are the result of competitive bidding, the Board has determined that notice of proposed rulemaking would be impracticable and unnecessary.

Accordingly, 49 CFR Part 801 is hereby amended by revising the Appendix—Fee Schedule as set forth below.

KAY BAILEY,
Acting Chairman.

APPENDIX—FEE SCHEDULE

1. Special services fees (pursuant to 31 U.S.C. 483a). Upon request, services relating to public documents are available at the following fees:

(a) Subscriptions (Calendar year):

(1) Initial decisions of the administrative law judges—$40.00 for one subscription, $30.00 for each additional subscription.

(2) Board safety enforcement opinions and orders—$20.00 for one subscription, $15.00 for each additional subscription.

(3) Board aircraft accident (probable cause) reports, brief format—$40.00 (U.S.) and $80.00 (foreign).

(4) Aircraft accident reports, narrative—$35.00 (U.S.) and $70.00 (foreign).

(5) Board safety recommendations—$60.00.

NOTE.—Subscription orders for (a)(3) and (4), above, should be forwarded to the National Technical Information Service, 5285 Port Royal Road, Springfield, Va. 22161.

(b) Document certification under the Board's seal—$4.00.

(c) Computer tapes and services for aviation accidents. Duplication of computer tapes (or a fraction thereof)—$40.00.

NOTE.—Computer tape requests should be addressed to the Chief, Information Systems Division, Bureau of Technology, National Transportation Safety Board, Washington, D.C. 20594.

(d) The basic fees set forth provide for ordinary first class postage prepaid. If registered, certified, air, or special delivery mail is used, postal fees therefor will be added to the basic fee. Also, if special handling or packaging is required, such costs will be added to the basic fee.

(e) Subscription fees for (a) above are waived for qualifying foreign countries, international organizations, nonprofit public safety entities, State and Federal transportation agencies, and colleges and universities, after approval by the Director, Bureau of Administration. In addition, subscription fees may be waived or reduced for other recipients not in any of the foregoing categories, when determined by the Director, Bureau of Administration, to be appropriate in the interest of and contributing to the Board's program.

2. Commercial reproduction fees and search fees. Pursuant to 5 U.S.C. 552 as amended, reproduction of the documents listed below is accomplished by commercial contract. Requests must be forwarded to the Public Inquiries Section, National Transportation Safety Board, Washington, D.C. 20594. The contractor may bill and/or collect full payment before duplicating the requested documents. Fees are subject to change depending upon the Board's annual contract award.

Current fees are:

(a) Photocopy:

Size (in inches):	
8½ by 11	$0.25
8½ by 14	.25
10 by 14	.25
14 by 18	.25
18 by 24	.25

(b) Photographic prints:

Size (in inches):	
8 by 10 black/white	$1.50
3½ by 5 color	1.50
5 by 7 color	1.75
8 by 10 color	4.00
2 by 2 color slide	.30
2 by 2 black/white slide	.25

(c) Minimum charge for reproduction—$1.00.

(d) Regular service—Usually, three weeks' time is required to service a request for reproduction. General aviation accident files dated prior to January 1, 1965, and air carrier accident files dated prior to January 1, 1964, are no longer available. Accident files for all transportation modes, dating from January 1, 1965, through December 31, 1973, are stored at the Federal Records Center; in filling any request for reproduction of these files, approximately two additional weeks will be needed for retrieval.

(e) Accelerated service—A 10-percent surcharge will be made for accelerated service which will be provided within two working days commencing when the contractor has received advance payment or when telephone arrangements have been made with the contractor. Accelerated delivery service will be handled as follows:

Step 1. Customer places telephone or written request to the Board's Public Inquiries Section for desired accident file.

Step 2. The Board forwards order form and file to contractor.

Step 3. Contractor sends advance billing invoice, which shows total cost, to customer.

Step 4. Customer calls contractor direct and verifies that he is wiring payment to contractor, as specified by contractor, or customer returns a copy of the contractor's invoice with full payment enclosed.

Step 5. Contractor copies documents and mails them to the customer.

(f) Document search fee—The Board has determined that it is in the public interest to limit search fees to documents which require commercial reproduction. Further, the fee has been reduced to the labor cost for a minimum time-search. Therefore, a $4.00 search fee is required only for:

(1) Factual accident investigation reports, statements, photographs, and other material contained in the Board's accident investigation files.

(2) Accident investigation information not in the Board's public files.

(3) Copies of responses to safety recommendations from recipients of such recommendations.

NOTE.—The $4.00 search fee will be included in the commercial reproduction firm's invoice.

(g) Documents requiring commercial reproduction for copies:

(1) Transcripts of public hearings.

(2) Factual accident investigation reports and information (see (e) (1) and (2) above).

3. Reproduction fees. All documents in the Board's public files may be examined, without charge, in the Board's public reference room, located in the Public Inquiries Section. There is a self-service duplicator in the reference room, which is available to the public for reproduction at a nominal cost.

4. Documents available without commercial reproduction cost until limited supplies are exhausted.

(1) Press releases.

(2) Aircraft accident reports, narrative, and brief format probable cause reports (on request for specific accidents).

(3) Surface accident reports.

(4) Special studies.

(5) Safety Board regulations (Chapter VIII of Title 49, Code of Federal Regulations).

(6) Indexes to initial decisions, Board orders, opinions and orders, and staff manuals and instructions.

(7) Statistical data published by the Board.

(8) Safety reocmmendations.

5. Documents for sale by the Government Printing Office:

(1) Board's annual report.

(2) Volume I, National Transportation Safety Board Decisions (1967–1972).

[FR Doc.77-28678 Filed 9-28-77;8:45 am]

[7035-01]

CHAPTER X—INTERSTATE COMMERCE COMMISSION

SUBCHAPTER A—GENERAL RULES AND REGULATIONS

[Ninth Revised Service Order No. 1234]

PART 1033—CAR SERVICE

Distribution of Freight Cars

SEPTEMBER 26, 1977.

AGENCY: Interstate Commerce Commission.

ACTION: Emergency order (Ninth Revised Service Order No. 1234).

SUMMARY: Tariff provisions often require the use of cars having high weight carrying or cubic capacity. Many carriers have shortages of these high capacity cars but have ample supplies of similar cars of lesser capacity. Service Order No. 1234 authorizes railroads, with the consent of the shipper, to substitute sufficient smaller cars for larger cars ordered to transport specified kinds of freight subject to the minimum quantity per shipment required by the applicable tariffs.

EFFECTIVE DATES: Effective 12:01 a.m., September 24, 1977. Expires 11:59 p.m., March 31, 1977.

FOR FURTHER INFORMATION CONTACT:

C. C. Robinson, Chief Utilization and Distribution Branch, Interstate Commerce Commission, Washington, D.C. 20423, telephone 202–275–7840, Telex 89–2742.

SUPPLEMENTARY INFORMATION: The order is printed in full below.

At a Session of the Interstate Commerce Commission, Railroad Service Board, held in Washington, D.C., on the 23rd day of September, 1977.

There is an acute shortage of high capacity freight cars for transporting shipments of beet pellets, citrus pulp, citrus pellets, clay, fertilizer, phosphate (dried or ground, treated or untreated), fish meal, grain, grain products, salt, soybeans, soybean products, cottonseed hulls, peanut hulls, or soybean hulls; caused by certain tariff provisions specifying the minimum quantities that must be loaded into cars offered to the carriers for transport. At the same time smaller cars, suitable except as to capacity, are available for transporting these products. The inability of the carriers and shippers to utilize the smaller capacity cars in place of the larger cars required by tariff provisions is resulting in great economic loss to both shippers and carriers. In the opinion of the Commission, an emergency exists requiring immediate action to modify existing rules, regulations and practices with respect to car service to secure maximum utilization of the available supply of freight cars and to alleviate shortages of cars. Accordingly, the Commission finds that notice and public procedure are impracticable and contrary to the public interest, and that good cause exists for making this order effective upon less than thirty days' notice.

It is ordered, That:

§ 1033.1234 Distribution of freight cars.

(a) Subject to the concurrence of the shipper, carriers may substitute a sufficient number of smaller cars for larger cars ordered to transport shipments of beet pellets, citrus pulp, citrus pellets, clay, fertilizer, phosphate (dried or ground, treated or untreated), fish meal, grain, grain products, salt, soybeans soybean products, cottonseed hulls, peanut hulls or soybean hulls regardless of tariff requirements specifying minimum cubic or weight carrying capacity. (See exceptions (b) and (c).)

(b) *Exception.* This order shall not apply to shipments subject to tariff pro-

visions requiring the use of twenty-five or more cars per shipment.

(c) *Exception.* This order shall not apply to shipments subject to tariff provisions which require that cars be furnished by the shipper.

(d) *Rates and Minimum Weights Applicable.* The rates to be applied and the minimum weights applicable to shipments for which cars smaller than those ordered have been furnished and loaded as authorized by Section (a) of this order shall be the rates and minimum weights applicable to the larger cars ordered.

(e) *Billing to be Endorsed.* The carrier substituting smaller cars for larger cars as authorized by Section (a) of this order shall place the following endorsement on the bill of lading and on the waybills authorizing movement of the car:

Car of (____) cu. ft. and of (____) lbs. or greater capacity ordered. Smaller cars furnished authority Ninth Revised ICC Service Order No. 1234.

(f) *Concurrence of Shipper Required.* Smaller cars shall not be furnished in lieu of cars of greater capacity without the consent of the shipper.

(g) *Exceptions.* Exceptions to this order may be authorized to railroads by the Railroad Service Board, Washington, D.C. 20423. Requests for such exception must be submitted in writing, or confirmed in writing, and must clearly state the points at which such exceptions are requested and the reason therefor.

(h) *Rules and regulations suspended.* The operation of all rules, regulations, or tariff provisions is suspended insofar as they conflict with the provisions of this order.

(i) *Application.* The provisions of this order shall apply to intrastate, interstate, and foreign commerce.

(j) *Effective date.* This order shall become effective at 12:01 a.m., September 26, 1977.

(k) *Expiration date.* This order shall expire at 11:59 p.m., March 31, 1978, unless otherwise modified, changed, or suspended by order of this Commission.

(49 U.S.C. 1, 12, 15, and 17(2).)

It is further ordered, That copies of this order 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 order to 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, members Joel E. Burns, Robert S. Turkington and John R. Michael.

H. G. HOMME, Jr.,
Acting Secretary.

[FR Doc.77-28708 Filed 9-28-77;8:45 am]

[7035-01]

[Ex Parte No. MC-37 (Sub-No. 29)]

PART 1041—INTERPRETATION—CERTIFICATES AND PERMITS

PART 1049—TERMINAL AREAS

Terminal Areas for Express Shipments by Bus

AGENCY: Interstate Commerce Commission.

ACTION: Final rule.

SUMMARY: This document amends the regulations pertaining to the interpretation of certificates and permits to provide that the operating rights of passenger carriers to serve a municipality includes authority to pickup and deliver express shipments at points within the commercial zone of that municipality. It also defines the terminal areas of passenger carriers in connection with the transportation of express to be coextensive with the limits of the municipalities they serve. This action is taken as a result of a petition filed by Continental Trailways, Inc., on March 9, 1977, as published in the FEDERAL REGISTER on March 24, 1977, after analysis of the representations filed by motor carriers, shippers and other interested parties.

EFFECTIVE DATE: November 28, 1977.

FOR FURTHER INFORMATION CONTACT:

Mr. Michael Erenberg, Assistant Deputy Director, Section of Operating Rights, Interstate Commerce Commission, 12th & Constitution Ave. NW., Washington, D.C. 20423, (202-275-7292).

SUPPLEMENTARY INFORMATION: In the sixth supplemental report in Commercial Zones and Terminal Areas, 54 M.C.C. 21 (1952), the Commission found that the terminal areas of all motor carriers, including passenger carriers, and freight forwarders, should be coextensive with the commercial zones of their authorized municipalities. The Commission also construed the operating rights of motor carriers to include authority to pickup and deliver shipments at all points within the commercial zones of the municipalities they are authorized to serve. Subsequently, a number of commuter bus lines in the New York, N.Y., and Philadelphia, Pa., metropolitan areas sought reconsideration of this decision. These carriers complained that such an interpretation of the operating rights of passenger carriers would enable carriers which had historically served specific cities only, to enter into competition with other commuter lines serving neighboring municipalities. As a result of these carriers' petition, the Commission, in it Seventh Supplemental Report, withdrew and vacated its ruling in the Sixth Supplemental Report insofar as it pertained to motor carriers of passengers. See Commercial Zones and Terminal Areas, 54 M.C.C. 615, 620 (1952). The Commission declined, however, to construe the operating rights of passenger carriers or to define their terminal areas and the subject of express service was not discussed. Eight years later, in Greyhound Corp., Investigation of Certificates, 84 M.C.C. 169 (1960), the Commission, Division 1, stated that the terminal areas of passenger carriers are confined to the actual limits of the municipalities they serve. The purpose of this notice is to modify 49 CFR 1041 and 49 CFR 1048 to provide that the operating rights of passenger carriers to transport express be interpreted to include authority to pickup and deliver shipments at all points within the commercial zones of the municipalities they are authorized to serve and to provide that the terminal areas of passenger carriers in connection with the transportation of express be coextensive with the limits of the commercial zones of the municipalities they serve.

This regulation is issued under the authority of Sections 552, 553, and 559 of the Administrative Procedure Act (5 U.S.C. 552, 553, and 559) and Sections 202, 203, 204, 207, 209, 402, 403, and 404 of the Interstate Commerce Act (49 U.S.C. 302, 304, 307, 309, and 1002, 1003, and 1004).

Issued at Washington, D.C.

H. G. HOMME, Jr.,
Acting Secretary.

Accordingly, the following sections of 49 CFR 1041 and 1949 are amended by inserting the words "or motor carrier of passengers in the transportation of express" after the words "motor carrier of property" wherever they appear in each section:

§ 1041.20 [Amended]

(1) 1041.20 Operating authority to serve particular municipality, construction.

§ 1041.21 [Amended]

(2) 1041.21 Operating authority to serve particular unincorporated community, construction.

§ 1049.1 [Amended]

(3) 1049.1 Terminal areas of motor carriers and freight forwarders at municipalities served.

§ 1049.2 [Amended]

(4) 1049.2 Terminal areas of motor carriers and freight forwarders at unincorporated communities served.

[FR Doc.77-28709 Filed 9-28-77;8:45 am]

[7035-01]

SUBCHAPTER D—TARIFFS AND SCHEDULES

[Ex Parte No. MC-88]

PART 1307—FREIGHT RATE TARIFFS, SCHEDULES, AND CLASSIFICATIONS OF MOTOR CARRIERS

Detention of Motor Vehicles—Nationwide

AGENCY: Interstate Commerce Commission.

ACTION: Amendment of final rule.

SUMMARY: The Interstate Commerce Commission has amended the nationwide rules governing detention of motor vehicles. The amendments were made in response to petitions filed by interested parties, and are intended to clarify the rules.

DATES: The effective date of the prescribed rules has been stayed by the United States Court of Appeals for the Third Circuit.[1]

FOR FURTHER INFORMATION CONTACT:

Janice M. Rosenak, Deputy Director, Section of Rates, or Harvey Gobetz, Assistant Deputy Director, Section of Rates, Office of Proceedings, Interstate Commerce Commission, Washington, D.C. 20423, (202–275–7693 or 275–7656).

SUPPLEMENTARY INFORMATION: In response to petitions for modification, reopening, and reconsideration, the Commission has issued a decision and order in Ex Parte No. MC–88, Detention of Motor Vehicles—Nationwide. The decision and order, served September 15, 1977, discusses ambiguities which assertedly existed in the rules governing spotting of vehicles, as well as the impact of those spotting rules on shippers. Also discussed are the amount of free time allowed for vehicles with power, the burden of proving the cause of detention, the level of the prescribed detention charges, who pays detention charges assessed against the shipment, and applicability of the rules. In its decision and order, the Commission clarified the first two sentences of the second full paragraph on page 807 of the report on reconsideration, 126 M.C.C. 803, to read as follows:

The definition of "spotting" contained in section 2(f) and item 33 on page 737 of the prior report and order make it clear that the carriers' line-haul obligation ends when a loaded trailer is dropped in the consignee's holding yard. The cost of moving the trailer from the holding yard to the unloading dock is the responsibility of the consignee.

Clarifying admendments were also made to the rules themselves. These amendments are set forth in the appendix.

H. G. Homme, Jr.,
Acting Secretary.

49 CFR 1307.35(e) is amended as set forth in the following appendix.

APPENDIX

Clarifying amendments are made to the provisions under 1307.35(e).

§ 1307.35 [Amended]

1. In the first paragraph under 1307.35 (e), that portion of the first sentence which now reads

* * * articles picked up or delivered to railroad care having prior or subsequent transportation by rail; * * *,

is amended to read as follows:

* * * articles picked up or delivered to railroad care in railroad owned or leased equipment having prior or subsequent transportation by rail; * * *.

2. The following change is made in the provisions under 1307.35(e)(1); under Section 1, General provisions, the second sentence of item (d) is amended to read as follows:

When detention charges are attributable to others who are not parties to the Bill of Lading contract, the party responsible for the payment of the freight charges will be held responsible for any accrued detention charges.

3. The following changes are made in the provisions under 1307.35(e)(2);

i. Under Section 2, Definitions, item (f) is amended as follows:

a. At the end of the second sentence, add: "at any site on premises."

b. Following the last sentence, add:

Empty trailers placed at the premises of consignor without specific request are not spotted until the carrier receives a consignor's request and places a trailer for spotting. Movement of the trailer from the consignor's premises to the specific site for spotting shall be the obligation of the carrier, and free time shall accrue as provided in section 3.

ii. Under Section 3, Computation of Free Time, item (a)(1) is amended by deleting the following language from the third sentence:

* * * or, in the case of an empty trailer placed at the premises of consignor without specific request, at the time a specific request to spot a trailer is received by the carrier.

iii. Under Section 5, Records, item (f) is deleted. Items (g), (h), and (i) are respectively relettered (f), (g), and (h).

[FR Doc.77-28739 Filed 9-28-77;8:45 am]

[1] Confirmation of effective date will be published in the FEDERAL REGISTER at a future date.

Title 50—Wildlife and Fisheries

CHAPTER I—UNITED STATES FISH AND WILDLIFE SERVICE, DEPARTMENT OF THE INTERIOR

SUBCHAPTER B—TAKING, POSSESSION, TRANSPORTATION, SALE, PURCHASE, BARTER, EXPORTATION, AND IMPORTATION OF WILDLIFE

PART 20—MIGRATORY BIRD HUNTING

Late Seasons, Bag Limits, and Possession of Certain Migratory Game Birds in the United States

AGENCY: Fish and Wildlife Service, Interior.

ACTION: Final rule.

SUMMARY: This rule prescribes the open seasons, shooting hours, areas, bag limits, and possession of certain migratory game birds, i.e., general waterfowl seasons; special seasons for scaup and goldeneyes; extra scaup and blue-winged teal in regular seasons; most sandhill crane seasons in the Central Flyway; coots, gallinules, and snipe in the Pacific Flyway; and special falconry seasons. The taking of the designated species of migratory birds is prohibited unless open hunting seasons are specifically provided. The rules will permit taking of the designated species within specified periods of time beginning as early as October 1, as has been the case in past years, and benefit the public by opening the seasons which are presently closed.

EFFECTIVE DATE: September 29, 1977 (publication date)

FOR FURTHER INFORMATION CONTACT:

John P. Rogers, Chief, Office of Migratory Bird Management, U.S. Fish and Wildlife Service, Department of the Interior, Washington, D.C., telephone 202–343–8827.

SUPPLEMENTARY INFORMATION: The Migratory Bird Treaty Act of July 3, 1918 (40 Stat. 755; 16 U.S.C. 703 et seq.), as amended, authorizes and directs the Secretary of the Interior, having due regard for the zones of temperature and for the distribution, abundance, economic value, breeding habits, and times and lines of flight of migratory game birds to determine when, to what extent, and by what means such birds or any part, nest, or egg thereof may be taken, hunted, captured, killed, possessed, sold, purchased, shipped, carried, exported, or transported.

The annual process for developing migratory game bird hunting regulations is divided into those for "early" seasons and those for "late" seasons. Early seasons include those which open before October 1 while late seasons open on or after October 1. Regulations are developed independently for early and late seasons. The early season regulations cover mourning doves, white-winged doves, band-tailed pigeons, rails, gallinules, woodcock, common snipe, sea ducks in the Atlantic Flyway, teal in September in the Central and Mississippi Flyway, lesser sandhill cranes in North Dakota and South Dakota, doves in the Virgin Islands and Hawaii, all migratory game birds in Puerto Rico and Alaska, and special falconry seasons. Late seasons include the general waterfowl seasons; special seasons for scaup and goldeneyes; extra scaup and blue-winged teal in regular seasons; most sandhill crane seasons in the Central Flyway; coots, gallinules, and snipe in the Pacific Flyway; and additional special falconry seasons.

Certain general procedures are followed in developing regulations for both the early and the late seasons. Initial regulatory proposals are first anounced in a FEDERAL REGISTER document in early March, and opened to public comment. As additional information becomes available, and comments on the initial proposals are received and considered, supplemental proposed rulemakings are published in the FEDERAL REGISTER. At the termination of the comment periods and following a public hearing, the Service develops and publishes the proposed frameworks for times of seasons, season lengths, shooting hours, daily bag and possession limits, and other regulatory restraints or options. Following another public comment period and after consideration of additional comments, the Service publishes in the FEDERAL REGISTER the final frameworks. Using these frameworks, State conservation agencies

select hunting season dates and offered options. States may select more restrictive seasons and options than those offered in the Service's frameworks. The final regulations, reflected in amendments to Subpart K of 50 CFR Part 20 then appear in the FEDERAL REGISTER, and become effective upon publication.

On March 10, 1977, the Service published for public comment in the FEDERAL REGISTER (42 FR 13311) proposals to amend 50 CFR Part 20 with a comment period ending May 18, 1977. That document dealt with minor modifications in § 20.11 of Subpart B, the addition of § 20.40 in Subpart D, and with establishment of seasons, limits and shooting hours for migratory game birds under §§ 20.101 through 20.107 of Subpart K. On May 25, 1977, the Service published for public comment in the FEDERAL REGISTER (42 FR 26669) a second document in the series consisting of supplemental or modified proposals and clarification or correction of minor portions of the earlier document. On July 5, 1977, the Service published in the FEDERAL REGISTER (42 FR 34305) a third document in the series consisting of final rulemaking dealing specifically with final frameworks from which wildlife conservation agency officials in Puerto Rico and the Virgin Islands could select season dates for hunting certain migratory birds in Puerto Rico and the Virgin Islands during the 1977–78 season. On July 5, 1977, the Service also published for public comment in the FEDERAL REGISTER (42 FR 34342) a fourth document in the series consisting of supplemental proposed rulemaking dealing specifically with proposed frameworks for early season migratory bird hunting regulations from which, when finalized, States could select season dates and daily bag and possession limits for the 1977–78 season. On July 15, 1977, the Service announced in a fifth document in the FEDERAL REGISTER (42 FR 36495) the availability of a draft environmental assessment on shooting hours and allowed a 10-day public comment period. On July 22, 1977, the Service published in the FEDERAL REGISTER (42 FR 37552) a sixth document in the series consisting of final rulemaking dealing specifically with final frameworks (except shooting hours) for early season migratory bird hunting regulations in all States during the 1977–78 seasons from which States selected early season dates and daily bag and possession limits for the 1977–78 season. On August 9, 1977, the Service published in the FEDERAL REGISTER (42 FR 40211) a seventh document in the series consisting of final rulemaking dealing specifically with final frameworks for shooting hours for early season migratory game bird hunting regulations in all States during the 1977–78 season. On August 15, 1977, the Service published in the FEDERAL REGISTER (41145) an eighth document in the series consisting of supplemental proposed rulemaking dealing specifically with proposed frameworks for late season migratory bird hunting regulations from which, when finalized, States could select season dates, shooting hours, and daily bag and possession limits for the 1977–78 season. On August 18, 1977, the Service published in the FEDERAL REGISTER (42 FR 41636) a ninth document in the series consisting of final rulemaking amending Subpart K of 50 CFR Part 20 to set open hunting seasons, certain closed areas, shooting hours and bag and possession limits for mourning doves, white-winged doves, band-tailed pigeons, rails, woodcock, snipe, and gallinules; September teal seasons; sea ducks in certain defined areas of the Atlantic Flyway; sandhill cranes in designated portions of North Dakota and South Dakota; and migratory game birds in Alaska, Hawaii, Puerto Rico, and the Virgin Islands. On September 9, 1977, the Service published in the FEDERAL REGISTER (42 FR 45310) a tenth document in the series consisting of final rulemaking dealing with final regulations frameworks for 1977–78 late hunting seasons on certain migratory game birds. This document is the eleventh in a series of proposed, supplemental, and final rulemaking documents for migratory game bird hunting regulations and deals specifically with final rulemaking amending Subpart K of 50 CFR Part 20 to set open hunting seasons, certain closed areas, shooting hours and bag and possession limits for waterfowl, coots, and gallinules; sandhill cranes in portions of the Central Flyway; common snipe in the Pacific Flyway; and additional special falconry seasons.

On June 21, 1977, a public hearing was held in Washington, D.C., as announced in the FEDERAL REGISTER (42 FR 26709; May 25, 1977; and 42 FR 29345; June 8, 1977) to review the status of mourning doves, woodcock, band-tailed pigeons, white-winged doves, rails, gallinules, lesser sandhill (little brown) cranes in North Dakota and South Dakota, and common (Wilson's) snipe. Proposed hunting regulations for these species were discussed plus those governing migratory game birds in Alaska, Puerto Rico, and the Virgin Islands; mourning doves in Hawaii; September teal seasons in the Mississippi and Central Flyways; and special sea duck seasons in the Atlantic Flyway. Statements or comments were invited. On August 2, 1977, a public hearing was held in Washington, D.C., as announced in the FEDERAL REGISTER (42 FR 26709; May 25, 1977; and 42 FR 34897; July 7, 1977), to review information on population status and proposed hunting regulations for waterfowl, coots, and gallinules; lesser sandhill (little brown) cranes in portions of the Central Flyway; common (Wilson's) snipe in the Pacific Flyway; and special falconry regulations. Statements or comments were invited.

STEEL SHOT REGULATIONS

Non-toxic shot requirements in some areas apply to waterfowl regulations being finalized here. On April 28, 1977, the Service published in the FEDERAL REGISTER (42 FR 21614) final regulations regarding areas in the Atlantic and Mississippi Flyways in which shotshells loaded with steel shot will be required for waterfowl hunting in seasons commencing in 1977. Subsequently, the Service proposed in the FEDERAL REGISTER (42 FR 33354; June 30, 1977) that these requirements would apply only to 12-gauge shotshells, and final rulemaking on this proposal was published in the FEDERAL REGISTER on August 3, 1977 (42 FR 39106). The intended effect of establishing these steel shot regulations is to reduce the number of deaths of waterfowl caused by ingesting spent lead pellets. The regulations appear under 50 CFR, §§ 20.21 and 20.108, and will also be summarized in the Service's regulations leaflets to be published late this summer.

ENVIRONMENTAL REVIEW

The "Final Environmental Statement for the Issuance of Annual Regulations Permitting the Sport Hunting of Migratory Birds (FES 75–54)" was filed with the Council on Environmental Quality on June 6, 1975, and notice of availability was published in the FEDERAL REGISTER on June 13, 1975 (40 FR 25241). The final environmental assessment on shooting hours (42 FR 40211; August 9, 1977), supplements the discussion on shooting hours in FES 75–54.

COMPLIANCE WITH SECTION 7 OF THE ENDANGERED SPECIES ACT OF 1973

Section 7 of this act provides that, "The Secretary shall review other programs administered by him and utilize such programs in furtherance of the purposes of this Act," and "by taking such action necessary to insure that actions authorized, funded, or carried out * * * do not jeopardize the continued existence of such endangered or threatened species or result in the destruction or modification of habitat of such species * * * which is determined to be critical." Consequently, the Service reviewed all migratory bird regulations being contemplated for early and late seasons in the United States this year and concluded in biological opinions that none of the proposals, including shooting hours, if implemented, would result in jeopardizing the continued existence of any species designated as endangered or threatened under the act, or adversely modify their critical habitat or habitats that may be determined as critical in the future. Likewise, the biological opinions concluded that with the imposition of certain restrictions for the protection of endangered species, the proposed regulations were not contrary to, and did not undermine the Service's obligation to conserve endangered or threatened species. The consideration of section 7 was described in more detail in the FEDERAL REGISTER dated July 22, 1977, on page 37554; and September 9, 1977, on page 45313.

The Service's biological opinions and threshold examination reports resulting from consultation under section 7 are available for public inspection in the Office of Endangered Species, U.S. Fish and Wildlife Service, Room 1100, 1612 K Street NW., Washington, D.C. 20240.

or the Office of Migratory Bird Management, U.S. Fish and Wildlife Service, Room 2243, Department of the Interior, 18th and C Streets NW., Washington, D.C. 20240. Copies may also be supplied by mail upon request.

DRAFTING INFORMATION

This final rulemaking was authored by Dr. John P. Rogers, Chief, Office of Migratory Bird Management.

REGULATIONS PROMULGATION

After analysis of the migratory game bird survey data obtained through investigations conducted by the Service, State conservation agencies, and other sources, and consideration of all comments received on the late season proposals (42 FR 13311; March 10, 1977; 42 FR 26669; May 25, 1977; and 42 FR 41145; August 15, 1977), the Service published in the FEDERAL REGISTER on September 9, 1977 (42 FR 45310), final late season frameworks. Copies of the final frameworks were also sent to the officials of the State conservation agencies who were invited to submit recommendations for hunting seasons which complied with the shooting hours, daily bag and possession limits, season times and lengths, and areas specified in the frameworks.

The taking of the designated species of migratory birds is prohibited unless open hunting seasons are specifically provided. The amendments will permit taking of the designated species within specified time periods beginning as early as October 1, as has been the case in past years, and benefit the public by opening the seasons which are presently closed.

The rulemaking process for migratory game bird hunting must, by its nature, operate under severe time constraints. However, the Service is of the view that every attempt should be made to give the public the greatest possible opportunity to comment on the regulations. Thus, when the proposed rulemakings were published on March 10, May 25, and August 15, the Service established what it believed were the longest periods possible for public comment. In doing this, the Service recognized that at the periods' close, time would be of the essence. That is, if there were a delay in the effective date of these regulations after this final rulemaking, the Service is of the opinion that the printing and distribution of Federal and State regulatory announcements and leaflets would be delayed to the extent that hunters would not have regulatory information available prior to the beginning of the hunting seasons. The Service has determined that "good cause" exists, within the terms of 5 U.S.C. 553(d)(3) of the Administrative Procedure Act, and these regulations will, therefore, take effect immediately upon publication.

Accordingly, each State conservation agency having had an opportunity to participate in selecting the hunting seasons desired for its State on those species of migratory birds for which open seasons are now to be prescribed, and consideration having been given to all other relevant matters presented, it is determined that certain sections of Title 50, Chapter 1, Subchapter B, Part 20, Subpart K, are amended to read as follows:

Section 20.104 is amended to read as follows:

§ 20.104 Seasons, limits, and shooting hours for rails, woodcock, and common (Wilson's) snipe.

Subject to the applicable provisions of the preceding sections of this part, the areas open to hunting, the respective open seasons (dates inclusive), the shooting hours, and the daily bag and possession limits on the species designated in this section are prescribed as follows:

CHECK STATE REGULATIONS FOR ADDITIONAL RESTRICTIONS, INCLUDING AREA DESCRIPTIONS

	Rails (Sora and Virginia)	Rails (Clapper and King)	Woodcock	Common Snipe (Wilson's)
Daily bag limits	25 [1]	[2]	5	8
Possession limits	25 [1]	[2]	10	16
Shooting hours	½ hour before sunrise until sunset daily on all species, except as noted otherwise.			
Seasons in the Atlantic Flyway:				
Connecticut	Sept. 1-Nov. 9	Sept. 1-Nov. 9	Oct. 15-Dec. 3	Oct. 15-Dec. 3.
Delaware	Sept. 1-Nov. 9	Sept. 1-Nov. 9	Oct. 22-Nov. 5 and Nov. 21-Jan. 7.	Oct. 3-Nov. 5 and Nov. 21-Jan. 31.
Florida	Sept. 1-Nov. 9	Sept. 1-Nov. 9	Dec. 17-Feb. 19	Nov. 12-Feb. 26.
Georgia	Sept. 10-Nov. 18	Sept. 10-Nov. 18	Nov. 19-Jan. 22	Nov. 19-Feb. 28.
Maine	Sept. 1-Nov. 9	Closed	Sept. 24-Nov. 15	Sept. 1-Dec. 16.
Maryland	Sept. 1-Nov. 9	Sept. 1-Nov. 9	Oct. 5-Dec. 8	Sept. 17-Jan. 1.
Massachusetts	Sept. 1-Nov. 5	Closed	Oct. 10-Nov. 30	Sept. 1-Dec. 10.
New Hampshire	Closed	Closed	Sept. 17-Nov. 20	Sept. 17-Nov. 20.
New Jersey: [3]				
North Zone	Sept. 1-Nov. 9	Sept. 1-Nov. 9	Oct. 3-Nov. 26	Oct. 12*-Dec. 31.
South Zone	Sept. 1-Nov. 9	Sept. 1-Nov. 9	Nov. 5-Dec. 3 and Dec. 15-Jan. 9.	Oct. 12*-Dec. 31.
New York: [3]				
North Zone	Sept. 1-Nov. 9	Closed	Sept. 20-Nov. 23	Sept. 1-Nov. 23.
South Zone	Sept. 1-Nov. 9	Closed	Oct. 1-Nov. 23	Sept. 1-Nov. 23.
Long Island Area	Closed	Closed	Oct. 1-Nov. 23	Closed.
North Carolina	Sept. 1-Nov. 9	Sept. 1-Nov. 9	Nov. 19-Jan. 21	Nov. 14-Feb. 28.
Pennsylvania	Sept. 1-Nov. 9	Closed	Oct. 15-Dec. 17	Oct. 15-Dec. 17.
Rhode Island	Sept. 19-Nov. 27	Sept. 19-Nov. 27	Oct. 15-Dec. 9 and Dec. 19-Dec. 27.	Sept. 19-Dec. 9 and Dec. 19-Dec. 27.
South Carolina	Sept. 10-Nov. 18	Sept. 10-Nov. 18	Nov. 24-Jan. 27	Nov. 14-Feb. 28.
Vermont	Sept. 24-Nov. 27	Closed	Sept. 24-Nov. 27	Sept. 24-Nov. 27.
Virginia	Sept. 10-Nov. 18	Sept. 10-Nov. 18	Oct. 31-Jan. 3	Oct. 17-Jan. 31.
West Virginia	Oct. 15-Dec. 23	Closed	Oct. 15-Dec. 17	Sept. 12-Dec. 27.
Seasons in the Mississippi Flyway:				
Alabama	Nov. 12-Jan. 20	Nov. 12-Jan. 20	Nov. 28-Jan. 31	Nov. 14-Feb. 28.
Arkansas	Nov. 7-Jan. 15	Closed	Dec. 1-Feb. 3	Nov. 1-Feb. 15.
Illinois	Sept. 1-Nov. 9	Closed	Oct. 15-Dec. 19	Oct. 15-Jan. 29.
Indiana	Sept. 1-Nov. 9	Closed	Sept. 24-Nov. 27	Sept. 1-Nov. 27.
Iowa	Sept. 3-Nov. 11	Closed	Sept. 17-Nov. 20	Sept. 3-Dec. 18.
Kentucky	Nov. 12-Jan. 20	Closed	Oct. 8-Dec. 2 and Dec. 10-Dec. 18.	Oct. 8-Dec. 2 and Dec. 10-Dec. 18.
Louisiana	Sept. 17-Nov. 25	Sept. 17-Nov. 25	Dec. 3-Feb. 5	Nov. 5-Feb. 19.
Michigan: [3] [4]				
Zone 1	Sept. 15-Nov. 13	Closed	Sept. 15-Nov. 13	Sept. 15-Nov. 13.
Zone 2	Sept. 15-Nov. 13	Closed	Sept. 15-Nov. 14	Sept. 15-Nov. 13.
Zone 3	Sept. 15-Nov. 13	Closed	Oct. 20-Nov. 14	Sept. 15-Nov. 13.
Minnesota	Sept. 1-Nov. 4	Closed	Sept. 1-Nov. 4	Sept. 1-Nov. 4.
Mississippi	Oct. 29-Jan. 6	Oct. 29-Jan. 6	Dec. 10-Feb. 12	Nov. 24-Feb. 21.
Missouri	Sept. 1-Nov. 9	Closed	Oct. 1-Dec. 4	Oct. 1-Dec. 4.
Ohio	Sept. 2-Nov. 10	Closed	Sept. 30-Dec. 3	Sept. 2-Dec. 17.
Tennessee	Nov. 12-Jan. 20	Closed	Oct. 22-Nov. 27 and Feb. 1-Feb. 28.	Nov. 19-Feb. 28.
Wisconsin	Oct. 1*-Oct. 9 and Oct. 15-Nov. 19.	Closed	Sept. 17-Nov. 20	Oct. 1*-Dec. 11.
Seasons in the Central Flyway:				
Colorado [5]	Sept. 1-Nov. 9	Closed	Closed	Sept. 1-Dec. 2.
Kansas	Sept. 10-Nov. 18	Closed	Oct. 8-Dec. 11	Sept. 10-Dec. 11.
Montana [5]	Closed	Closed	Closed	Oct. 1-Nov. 29.
Nebraska (shooting hours—15 min before sunrise until sunset).	Sept. 1-Nov. 9	Closed	Sept. 15-Nov. 18	Sept. 15-Nov. 18.
New Mexico [5]	Closed	Closed	Closed	Nov. 1-Jan. 22.
North Dakota	Closed	Closed	Closed	Sept. 17-Nov. 6.
Oklahoma	Sept. 1-Nov. 9	Closed	Nov. 20-Jan. 23	Oct. 22-Feb. 5.
South Dakota	Closed	Closed	Closed	Sept. 1-Oct. 31.
Texas	Sept. 1-Nov. 9	Sept. 1-Nov. 9	Nov. 19-Jan. 22	Nov. 5-Feb. 19.
Wyoming [5]	Oct. 1-Dec. 9	Closed	Closed	Oct. 1-Jan. 8.
Seasons in the Pacific Flyway:				
Arizona	Closed	Closed	Closed	Oct. 1-Nov. 13 and Dec. 5-Jan. 22.
California: [3]				
Colorado River Area.	Closed	Closed	Closed	Oct. 1-Nov. 13 and Dec. 5-Jan. 22.
Tule Lake Area	Closed	Closed	Closed	Oct. 15-Jan. 15.
Remainder of State.	Closed	Closed	Closed	Oct. 22-Jan. 22.
Colorado [6]	Closed	Closed	Closed	Sept. 1-Dec. 2.
Idaho: [3]				
Columbia Basin	Closed	Closed	Closed	Oct. 1-Jan. 8.
Remainder of State.	Closed	Closed	Closed	Oct. 1-Jan. 1.
Montana [6]	Closed	Closed	Closed	Oct. 1-Jan. 1.
Nevada:				
Clark and Lincoln Counties.	Closed	Closed	Closed	Oct. 1-Nov. 13 and Dec. 5-Jan. 22.
Remainder of State.	Closed	Closed	Closed	Oct. 15-Jan. 15.
New Mexico [6]	Closed	Closed	Closed	Oct. 1-Jan. 1.

CHECK STATE REGULATIONS FOR ADDITIONAL RESTRICTIONS, INCLUDING AREA DESCRIPTIONS—Continued

	Rails (Sora and Virginia)	Rails (Clapper and King)	Woodcock	Common Snipe (Wilson's)
Oregon[3]				
Columbia Basin	Closed	Closed	Closed	Oct. 15–Jan. 22.
Remainder of State.	Closed	Closed	Closed	Oct. 15–Jan. 15.
Utah	Closed	Closed	Closed	Oct. 1–Jan. 1.
Washington[3]				
Columbia Basin	Closed	Closed	Closed	Oct. 15–Jan. 22.
Remainder of State.	Closed	Closed	Closed	Oct. 15–Jan. 15.
Wyoming[5]	Closed	Closed	Closed	Oct. 1–Dec. 31.

[1] The bag and possession limits for sora and Virginia rails apply singly or in the aggregate of these two species.
[2] In addition to the limits on sora and Virginia rails, in the States of Connecticut, Delaware, Maryland, New Jersey, and Rhode Island, there is a daily bag limit of 10 and possession limit of 20 clapper and king rails, singly or in the aggregate of these 2 species, and in the States of Alabama, Florida, Georgia, Louisiana, Mississippi, North Carolina, South Carolina, Texas, and Virginia, there is a daily bag limit of 15 and possesion limit of 30 clapper and king rails, singly or in the aggregate of these 2 species.
[3] For description of zones or management units within a State, see State regulations.
[4] In Michigan, in the counties of Arenac, Bay, Huron, Macomb, Monroe, St. Clair, Tuscola, and Wayne, and adjacent Great Lakes and connecting waters, the snipe season shall open concurrently with the duck season and shall run continuously in all areas through Nov.13.
[5] Seasons apply to Central Flyway portion of State only. The Central Flyway portion consists of: Colorado and Wyoming—the area lying east of the Continental Divide; Montana—the area lying east of Hill, Chouteau, Cascade, Meagher, and Park Counties; New Mexico—the area lying east of the Continental Divide and outside the Jicarilla Apache Indian Reservation.
[6] Seasons apply to Pacific Flyway portion of State only. The Pacific Flyway portion consists of Colorado and Wyoming—the area lying west of the Continental Divide; Montana—the counties of Hill, Chouteau, Cascade, Meagher, and Park, and all counties west thereof; New Mexico—the area lying west of the Continental Divide plus the Jicarilla Apache Indian Reservation.

*On opening day, shooting hours begin at noon local time.

Section 20.105 is amended to read as follows:

§ 20.105 Seasons, limits, and shooting hours for waterfowl, coots, and gallinules.

Subject to the applicable provisions of the preceding sections of this part, the areas open to hunting, the respective open seasons (dates inclusive), the shooting hours, and the daily bag and possession limits on the species designated in this section are prescribed as follows:

(a) *Sea Ducks.* (1) An open season for taking scoter, eider, and oldsquaw ducks is prescribed according to the following table during the period between September 18, 1977, and January 20, 1978, in all coastal waters and all waters of rivers and streams seaward from the first upstream bridge in the States of Maine, New Hampshire, Massachusetts, Rhode Island, and Connecticut; in those coastal waters of the State of New York lying in Long Island and Block Island Sounds and associated bays eastward from a line running between Miamogue Point in the Town of Riverhead to Red Cedar Point in the Town of Southampton, including any ocean waters of New York lying south of Long Island; in any waters of the Atlantic Ocean and, in addition, in any tidal waters of any bay which are separated by at least one mile of open water from any shore, island, and emergent vegetation in the States of New Jersey, South Carolina, and Georgia; and in any waters of the Atlantic Ocean and/or in any tidal waters of any bay which are separated by at least 800 yards of open water from any shore, island, and emergent vegetation in the States of Delaware, Maryland, North Carolina, and Virginia: *Provided*, That any such areas have been described, delineated, and designated as special sea duck hunting areas under the hunting regulations adopted by the respective States. In all other areas of these States and in all other States in the Atlantic Flyway, sea ducks may be taken only during the regular open season for ducks.

(2) The daily bag limit is 7 and the possession limit 14, singly or in the aggregate of these species. During the regular duck season in the Atlantic Flyway, States may set in addition to the limits prescribed for such seasons a daily bag limit of 7 and possession limit of 14 scoter, eider, and oldsquaw ducks, singly or in the aggregate of these species.

(3) Shooting hours are one-half hour before sunrise until sunset daily.

CHECK STATE REGULATIONS FOR ADDITIONAL RESTRICTIONS

Seasons in:	
Connecticut	Sept. 24–Nov. 22.
Delaware	Oct. 1–Jan. 14.
Georgia	Nov. 16–Jan. 20.
Maine	Sept. 26–Jan. 10.
Maryland	Oct. 6–Jan. 20.
Massachusetts	Sept. 24–Jan. 7.
New Hampshire	Sept. 18–Jan. 2.
New Jersey	Oct. 3–Jan. 17.
New York	Sept. 22–Jan. 6
North Carolina	Oct. 5–Oct. 8 and Oct. 10–Jan. 20.
Rhode Island	Oct. 6–Jan. 20.
South Carolina	Oct. 6–Jan. 20.
Virginia	Oct. 6–Jan. 20.

(4) Notwithstanding the provisions of this Part 20, the shooting of *crippled* waterfowl from a motorboat under power will be permitted in the States of Maine, Massachusetts, New Hampshire, Rhode Island, Connecticut, New York, Delaware, Virginia, and Maryland in those areas described, delineated, and designated in their respective hunting regulations as being open to sea duck hunting.

(b) *Teal.* September season:

* * * * *

(c) *Gallinules.*

Limits in the Atlantic, Mississippi, and Central Flyways:

Daily bag limit	15
Possession limit	30

Limits in the Pacific Flyway: The daily bag and possession limits are 25 gallinules and coots singly or in the aggregate of these two species.

Shooting hours: One-half hour before sunrise to sunset.

CHECK STATE REGULATIONS FOR ADDITIONAL RESTRICTIONS

Seasons in the Atlantic Flyway:	
Connecticut	Sept. 1–Nov. 9.
Delaware	Sept. 1–Nov. 9.
Florida[1]	Sept. 1–Nov. 9.
Georgia	Nov. 16–Jan. 20.
Maine	Sept. 1–Nov. 9.
Maryland	Sept. 1–Nov. 9.
Massachusetts	Sept. 1–Nov. 5.
New Hampshire	Closed.
New Jersey	Sept. 1–Nov. 9.
New York:	
Long Island	Closed.
Remainder of State	Sept. 1–Nov. 9.
North Carolina	Sept. 1–Nov. 9.
Pennsylvania	Sept. 1–Nov. 9.
Rhode Island	Sept. 19–Nov. 27.
South Carolina	Sept. 10–Nov. 18.
Vermont	Sept. 24–Nov. 27.
Virginia	Oct. 12*–Oct. 15 and Nov. 23*–Jan. 7.
West Virginia	Oct. 5–Oct. 22 and Dec. 14–Jan. 14.

Seasons in the Mississippi Flyway:	
Alabama	Nov. 12–Jan. 20.
Arkansas	Nov. 7–Jan. 15.
Illinois	Closed
Indiana	Sept. 1–Nov. 9.
Iowa	Closed.
Kentucky	Nov. 12–Jan. 20
Louisiana	Sept. 17–Nov. 25.
Michigan:	
Zone 1	Oct. 1–Nov. 14.
Zones 2 and 3	Oct. 12–Nov. 25.
Minnesota	Oct. 1–Nov. 14.
Mississippi	Oct. 29–Jan. 6.
Missouri	Sept. 1–Nov. 9.
Ohio	Sept. 2–Nov. 10.
Tennessee	Nov. 12–Jan. 20.
Wisconsin	Oct. 1*–Oct. 9 and Oct. 15–Nov. 19.

Seasons in the Central Flyway:	
Colorado[2]	Closed.
Kansas[2]	Closed.
Montana[2]	Closed.
Nebraska	Closed.
New Mexico[2]	Nov. 1–Jan. 6.
North Dakota	Closed.
Oklahoma	Sept. 1–Nov. 9.
South Dakota	Closed.
Texas	Sept. 1–Nov. 9.
Wyoming[2]	Closed.

Seasons in the Pacific Flyway:	
Arizona	Oct. 1–Nov. 13 and Dec. 5–Jan. 22.
California:	
Colorado River Area	Oct. 1–Nov. 13 and Dec. 5–Jan. 22.
Tule Lake Area	Oct. 15–Jan. 15.
Remainder of State	Oct. 22–Jan. 22.

[1] The gallinule season in Florida applies to the common or Florida gallinule only. No open season on purple gallinules in Florida.
[2] Seasons apply to Central Flyway portion of State only.

Seasons in the Pacific Flyway—Continued	
Colorado [3]	Closed.
Idaho:	
Columbia Basin	Oct. 1–Jan. 8.
Remainder of State	Oct. 1–Jan. 1.
Montana [3]	Closed.
Nevada:	
Clark and Lincoln Counties.	Oct. 1–Nov. 13 and Dec. 5–Jan. 22.
Remainder of State	Oct. 15–Jan. 15.
New Mexico [3]	Oct. 1–Dec. 9.
Oregon:	
Baker, Malheur, Wallowa, Union, Umatilla, Morrow, Gilliam, Sherman and Wasco Counties.	Oct. 15–Jan. 22.
Remainder of State	Oct. 15–Jan. 15.
Utah	Oct. 1–Jan. 1.
Washington:	
Columbia Basin	Oct. 15*–Jan. 22.
Remainder of State	Oct. 15*–Jan. 15.
Wyoming [3]	Closed.

[3] Seasons apply to Pacific Flyway portion of State only.

* On opening day, shooting hours begin at noon local time.

(d) *Waterfowl and coots in the Atlantic, Mississippi, Central and Pacific Flyways. Flywaywide Restrictions.*—In all States in the Altantic Flyway:

Wood ducks—No more than 2 wood ducks may be taken daily nor more than 4 wood ducks may be in possession; in Pennsylvania, the possession limit is 2 wood ducks. Exceptions: During duck seasons prior to October 16, 1977, in North Carolina and Virginia, under conventional regulations, no special restrictions within the regular daily bag and possession limits shall apply to wood ducks; under the point system, the point value of wood ducks shall be 25.

Hooded mergansers—In States selecting conventional regulations, no more than 1 hooded merganser may be taken daily nor more than 2 hooded mergansers may be in possession.

Brant—The season is closed on brant.

Canvasbacks and redheads—Except in closed areas, the limit on canvasbacks and redheads is 1 canvasback daily and 1 in possession or 1 redhead daily and 1 in possession under conventional regulations. Under the point system canvasbacks count 100 points each, except in closed areas, and redheads count 70 points each, except in closed areas. The areas closed to canvasback and redhead hunting are:

New York—Upper Niagara River between the Peace Bridge at Buffalo, New York, and the Niagara Falls. All waters of Lake Cayuga.

New Jersey—Those portions of Monmouth County and Ocean County lying east of the Garden State Parkway.

Maryland—That portion lying east of U.S. Highway 1.

North Carolina and Virginia—Closed Statewide.

CHECK STATE REGULATIONS FOR ADDITIONAL RESTRICTIONS AND DELINEATIONS OF GEOGRAPHICAL AREAS. SPECIAL RESTRICTIONS MAY APPLY ON FEDERAL AND STATE PUBLIC HUNTING AREAS

Shooting hours: One-half hour before sunrise to sunset daily.

The season dates for mergansers and coots are the same as those for ducks in the following tables:

	Season dates	Limits: Bag	Limits: Possession
Connecticut:			
Coastal area only	Oct. 12*–Oct. 29; Nov. 23–Dec. 24		
Ducks		4	8
Including no more than: Black ducks		2	4
Mergansers		5	10
Coots		15	30
Geese:			
Canada	Oct. 12*–Oct. 29; Nov. 17–Jan. 7	3	6
Snow (including blue)	Oct. 12*–Oct. 29; Nov. 17–Dec. 28	2	4
Remainder of State	Oct. 15–Oct. 29; Nov. 23–Dec. 24		
Ducks		4	8
Including no more than: Black ducks		2	4
Mergansers		5	10
Coots		15	30
Geese:			
Canada	Oct. 15–Oct. 29; Nov. 17–Jan. 7	3	6
Snow (including blue)	Oct. 15–Oct. 29; Nov. 17–Dec. 28	2	4
Delaware:			
Ducks	Nov. 2*–Nov. 26; Dec. 14*–Jan. 7	5	10
Including no more than: Black ducks		1	2
Mergansers		5	10
Coots		15	30
Geese:			
Canada	Nov. 2*–Dec. 13; Dec. 14*–Jan. 30	4	8
Snow (including blue)	Nov. 2*–Nov. 26; Dec. 14*–Jan. 17	2	4
Florida:			
Ducks	Nov. 23*–Dec. 4; Dec. 14*–Jan. 20	Point system.	
Coots		15	30
Geese	Closed season		
Georgia:			
Ducks	Nov. 16*–Nov. 27; Dec. 14*–Jan. 20	5	10
Including no more than: Black ducks		1	2
Mergansers		5	10
Coots		15	30
Geese	Closed		
Maine:			
Ducks		4	8
North Zone (wildlife management units 1–3).	Oct. 1–Nov. 14		
South Zone (wildlife management units 4–8).	Oct. 5*–Oct. 22; Nov. 9*–Dec. 10		
Including no more than: Black ducks		2	4
Mergansers		5	10
Coots		15	30
Geese:			
Canada	Oct. 1–Dec. 9	3	6
Snow (including blue)	Oct. 1–Nov. 29	2	4
Maryland:			
Ducks	Nov. 9*–Nov. 25; Dec. 7*–Jan. 7	Point system.	
Coots		15	30
Geese:			
Canada:			
In Delmarva Peninsula [1]	Oct. 21–Nov. 25; Dec. 5–Jan. 27	3	6
In remainder of State	Oct. 21–Nov. 25; Dec. 5–Jan. 7	3	6
Snow (including blue)	Nov. 12–Nov. 25; Dec. 5–Jan. 19	2	4
Massachusetts:			
Ducks	Oct. 12*–Oct. 29; Nov. 23*–Dec. 24	4	8
Including no more than: Black ducks		2	4
Mergansers		5	10
Coots		15	30
Geese:			
Canada	Oct. 12*–Nov. 5; Nov. 23*–Jan. 6	3	6
Snow (including blue)	Oct. 12*–Nov. 5; Nov. 23*–Dec. 27	2	4
New Hampshire:			
Ducks	Oct. 5*–Oct. 30; Nov. 23*–Dec. 16	4	8
Including no more than: Black ducks		2	4
Mergansers		5	10
Coots		15	30
Geese:			
Canada	Oct. 5*–Oct. 30; Nov. 23*–Jan. 5	3	6
Snow (including blue)	Oct. 5*–Oct. 30; Nov. 23*–Dec. 26	2	4
New Jersey			
Ducks	Oct. 12*–Oct. 22; Nov. 23*–Dec. 31	Point system.	
Coots		15	30
Geese:			
Canada	Oct. 12*–Nov. 11; Nov. 23*–Dec. 31	3	6
Snow (including blue)	Oct. 12*–Nov. 1; Nov. 23*–Dec. 31	2	4
New York			
Long Island Area:			
Ducks	Nov. 16*–Jan. 4	4	8
Including no more than: Black ducks		2	4
Mergansers		5	10
Coots		15	30
Geese:			
Canada	Nov. 16*–Jan. 20	3	6
Snow (including blue)	Nov. 16*–Jan. 14	2	4
Lake Champlain area:			
Ducks	Oct. 5*–Nov. 23	4	8
Including no more than: Black ducks		2	4
Mergansers		5	10
Coots		15	30
Geese:			
Canada	Oct. 5*–Dec. 13	3	6
Snow (including blue)	Oct. 5*–Dec. 3	2	4

	Season dates	Limits	
		Bag	Possession
New York—Continued			
North Zone: [2]			
Ducks	Oct. 5*–Nov. 18	5	10
Including no more than: Black ducks		1	2
Mergansers		5	10
Coots		15	30
Geese:			
Canada	Oct. 5*–Dec. 13	3	6
Snow (including blue)	Oct. 5*–Dec. 3	2	4
South Zone: [3]			
Ducks	Oct. 19*–Dec. 2	5	10
Including no more than: Black ducks		1	2
Mergansers		5	10
Coots		15	30
Geese:			
Canada	Oct. 5*–Dec. 13	3	6
Snow (including blue)	Oct. 5*–Dec. 3	2	4
West Zone: [4]			
Ducks	Oct. 12*–Nov. 17; Dec. 21*–Jan. 2	5	10
Including no more than: Black ducks		1	2
Mergansers		5	10
Coots		15	30
Geese:			
Canada	Oct. 5*–Dec. 13	3	6
Snow (including blue)	Oct. 5*–Dec. 3	2	4
North Carolina:			
Ducks (except canvasbacks and redheads) [5]	Oct. 5*–Oct. 8; Dec. 7*–Jan. 20	5	10
Canvasbacks and redheads	Season closed		
Including no more than: Black ducks		1	2
Mergansers		5	10
Coots		15	30
Geese:			
Canada	Nov. 22–Nov. 26; Dec. 7–Jan. 20	1	2
Snow (including blue)	Nov. 22–Nov. 26; Dec. 7–Jan. 20	2	4
Pennsylvania:			
Ducks	Oct. 5*–Nov. 12; Nov. 30*–Dec. 10	4	8
Including no more than:			
Black ducks		2	4
Wood ducks		2	2
Mergansers		5	10
Coots		15	30
Geese:			
Canada:			
In Southeastern Zone [6]	Oct. 5*–Dec. 13; Dec. 26–Jan. 14	3	6
In remainder of the State [6]	Oct. 5*–Dec. 13	3	6
Snow (including blue)	Oct. 5*–Dec. 3	2	4
Rhode Island:			
Ducks	Oct. 26*–Oct. 29; Nov. 23*–Jan. 7	Point system.	
Coots		15	30
Geese:			
Canada	Nov. 12–Jan. 20	3	6
Snow (including blue)	Nov. 12–Jan. 10	2	4
South Carolina:			
Ducks	Nov. 23*–Nov. 27; Dec. 7*–Jan. 20	5	10
Including no more than:			
Black ducks		1	2
Mottled ducks	Season closed		
Mergansers		5	10
Coots		15	30
Geese:			
McCormick County	Season closed		
Remainder of State:			
Canada	Nov. 23*–Nov. 27; Dec. 7*–Jan. 20	1	2
Snow (including blue)	Nov. 23*–Nov. 27; Dec. 7*–Jan. 20	2	4
Vermont:			
Ducks	Oct. 5*–Nov. 23	4	8
Including no more than: Black ducks		2	4
Mergansers		5	10
Coots		15	30
Geese:			
Canada	Oct. 5*–Dec. 13	3	6
Snow (including blue)	Oct. 5*–Dec. 3	2	4
Virginia:			
Ducks (except canvasbacks and redheads) [8]	Oct. 12*–Oct. 15; Nov. 23*–Jan. 7	Point system.	
Canvasbacks and redheads	Season closed		
Coots		15	30
Geese:			
Canada:			
In Back Bay area [7]	Oct. 12*–Oct. 15; Nov. 23*–Jan. 7	1	2
In Delmarva Peninsula Area	Nov. 3–Jan. 31	4	8
In remainder of State	Nov. 12–Jan. 20	3	6
Snow (including blue):			
In Back Bay area [8]	Nov. 23–Jan. 7	2	4
In remainder of State	Nov. 23–Jan. 20	2	4
West Virginia:			
Ducks	Oct. 5*–Oct. 22; Dec. 14*–Jan. 14	4	8
Including no more than: Black ducks		2	4
Mergansers		5	10
Coots		15	30
Geese:			
Canada	Oct. 5*–Oct. 22; Dec. 14*–Jan. 14	3	6
Snow (including blue)	Oct. 5*–Oct. 22; Dec. 14*–Jan. 14	2	4

[1] In Maryland the Delmarva Peninsula includes the counties of Caroline, Cecil, Dorchester, Kent, Queen Annes, Somerset, Talbot, Wicomico, and Worcester.

[2] In New York the West Zone is that portion of upstate New York lying west of a line commencing at the north shore of the Salmon River and its junction with Lake Ontario and extending easterly along the north shore of the Salmon River to its intersection with Interstate Highway 81, then southerly along Interstate Highway 81 to the Pennsylvania border. The North and South Zones are bordered on the west by the boundary of the West Zone and are separated from each other as follows: Starting at the intersection of Interstate Highway 81 and New York Route 49 and extending easterly along Route 49 to its junction with Route 8 in Utica, then along Route 8 to its intersection with U.S. Highway 20 in Bridgewater, then easterly along U.S. Highway 20 to the Massachusetts border.

[3] In North Carolina, no special daily bag and possession limit restrictions apply to wood ducks during the Oct. 5-Oct. 8 season.

[4] In Pennsylvania, the Southeastern Zone is defined as follows: That portion of the State lying east and south of a boundary beginning at Interstate Highway 83 at the Maryland border and extending north to Harrisburg, then east on U.S. Highway 22 to the New Jersey border.

[5] In Butler, Crawford, Erie, and Mercer Counties, and the Middle Creek Wildlife Management area, the Canada goose daily bag limit is 1 and the possession limit is 2.

[6] In Virginia, the wood duck is assigned 25 points during the Oct. 12-Oct. 15 season.

[7] In Virginia, the Back Bay area is defined for Canada geese as those portions of Virginia Beach and Chesapeake lying east of U.S. Highway 17 and Interstate 64.

[8] In Virginia, the Back Bay area is defined for snow (including blue) geese as the waters of Back Bay and its tributaries and the marshes adjacent thereto, and on the land and marshes between Back Bay and the Atlantic Ocean from Sandbridge to the North Carolina line, and on and along the shore of North Landing River and the marshes adjacent thereto, and on and along the shores of Lake Tecumseh and Red Wing Lake and the marshes adjacent thereto.

*On opening day, shooting hours begin at noon local time.

MISSISSIPPI FLYWAY

Shooting hours: One-half hour before sunrise to sunset daily except as otherwise restricted.

FLYWAYWIDE RESTRICTIONS

In all States in the Mississippi Flyway selecting conventional regulations:

Mallards and black ducks—No more than 2 mallards or 2 black ducks or 1 of each daily nor more than 4 mallards or 4 black ducks or 4 in the aggregate in possession.

Wood ducks—No more than 2 wood ducks may be taken daily nor more than 4 wood ducks may be in possession, except in the Pymatuning Area of Ohio, the possession limit is 2 wood ducks.

Hooded mergansers—No more than 1 hooded merganser may be taken daily nor more than 2 hooded mergansers may be in possession.

Canvasback and redheads—except in closed areas, the limit on canvasbacks and redheads is 1 canvasback daily and 1 in possession or 1 redhead daily and 1 in possession under conventional regulations. Under the point system canvasbacks count 100 points each except in closed areas and the redheads count 70 points each except in closed areas. The areas closed to canvasback and redhead hunting are:

Mississippi River—Entire river, both sides, from Alton Dam upstream to Prescott, Wisconsin, at confluence of St. Croix River.

Alabama—Baldwin and Mobile Counties.

Louisiana—Caddo, St. Charles, and St Mary Parishes; that portion of Ward 1 formerly designated as Ward 6 of St. Martin Parish; and Catahoula Lake in LaSalle and Rapides Parishes.

Michigan—Arenac, Bay, Huron, Macomb, Monroe, St. Clair, Tuscola, and Wayne Counties, and those adjacent waters of Saginaw Bay south of a line extending from Point au Gres in Sec. 6, T18N, R7E (Arenac County) to Sand Point in Sec. 11, T17N, R9E (Huron County), the St. Clair River, Lake St. Clair, the Detroit River and Lake Erie, under the jurisdiction of the State of Michigan.

Minnesota—Douglas, Mahnomen, Polk, Pope and Sibley Counties. Where the county line of any of the above counties crosses any portion of a lake, that entire lake is closed. In addition, all land in Sec. 13, T130N, R31W (i.e., land between Lake Christina and Pelican Lake) is closed.

Ohio—Land and water areas comprising Erie, Ottawa and Sandusky Counties.

Tennessee—Kentucky Lake lying north of Interstate Highway 40.

Wisconsin—In the Mississippi River Zone, all that portion of Wisconsin west of the Burlington-Northern Railroad in Grant, Crawford, Vernon, LaCrosse, Trempealeau, Buffalo, Pepin and Pierce Counties. Also, the following lakes and waters, including a strip of land 100 yards wide adjacent to the shorelines thereof: Lake Poygan in Winnebago and Waushara Counties and Lakes Winneconne and Butte des Morts, including the connecting waters thereof, in Winnebago County.

White-fronted geese—no more than 2 white-fronted geese may be taken daily or held in possession.

CHECK STATE REGULATIONS FOR ADDITIONAL RESTRICTIONS AND DELINEATIONS OF GEOGRAPHICAL AREAS. SPECIAL RESTRICTIONS MAY APPLY ON FEDERAL AND STATE PUBLIC HUNTING AREAS

The season dates for mergansers and coots are the same as those for ducks in the following tables.

	Season dates	Limits	
		Bag	Possession
Alabama:			
Ducks	Dec. 7-Jan. 20	Point system.	
Coots		15	30
Geese:			
In Chambers, Henry, Russell, and Barbour Counties.	Closed season		
In remainder of State	Nov. 12-Jan. 20	5	5
Including no more than:			
Canada geese		2	4
White-fronted geese		2	2
Canada and white-fronted geese combined.		2	4
Snow (including blue) geese		5	5
Arkansas:			
Ducks	Nov. 19-Dec. 11; Dec. 17-Jan. 7	Point system.	
Coots		15	30
Geese		5	5
Including no more than:			
Canada geese:			
Closed area [1]			
Remainder of State	Nov. 19-Dec. 11; Dec. 17-Jan. 7	1	2
White-fronted geese		2	2
Snow (including blue) geese	Oct. 30-Jan. 7	5	5
Illinois:			
Ducks		Point system.	
North Zone [2]	Oct. 22-Dec. 5		
South Zone [2]	Nov. 5-Dec. 19		
Coots		15	30

	Season dates	Limits: Bag	Limits: Possession
Illinois—Continued			
Geese:			
In Alexander, Jackson, Union, and Williamson Counties.[3]	Nov. 21-Jan. 20		
In remainder of the State [4]	Oct. 22-Dec. 30		
For the entire State including no more than:			
Canada geese [5]		2	4
White-fronted geese		2	2
Canada and white-fronted geese combined		2	4
Snow (including blue) geese		5	5
Indiana:			
Ducks		Point system.	
North Zone [6]	Oct. 28-Dec. 11		
South Zone [6]	Nov. 18-Jan. 1		
Coots		15	30
Geese	Oct. 28-Dec. 3; Dec. 17-Jan. 18	5	5
Including no more than:			
Canada geese:			
In Posey County		2	2
In remainder of State		1	2
White-fronted geese		2	2
Canada and white-fronted geese combined		2	4
Snow (including blue) geese		5	5
Iowa—Shooting hours	Sunrise to sunset		
Ducks	Oct. 8-Oct. 15; Oct. 22-Nov. 27	Point system.	
Coots		15	30
Geese		5	5
Including no more than:			
Canada geese	Oct. 1-Nov. 14	2	2
White-fronted geese	Oct. 1-Dec. 9	2	2
Snow (including blue) geese	Oct. 1-Dec. 9	5	5
Kentucky:			
Ducks	Nov. 19-Nov. 27; Dec. 10-Jan. 14	Point system.	
Coots		15	30
Geese	Nov. 12-Jan. 20		
Including no more than:			
Canada geese [5 7]		2	4
White-fronted geese		2	2
Canada and white-fronted geese combined		2	4
Snow (including blue) geese		5	5
Louisiana:			
Ducks:		Point system.	
East Zone [8]	Nov. 19-Dec. 4; Dec. 17-Jan. 14		
West Zone [8]	Nov. 5-Dec. 4; Dec. 17-Jan. 5		
Coots		15	30
Canada Geese	Closed season		
Geese (except Canada geese)		5	5
East Zone [8]	Nov. 19-Jan. 27		
West Zone [8]	Nov. 5-Dec. 4; Dec. 17-Jan. 25		
Including no more than:			
White-fronted geese		2	2
Snow (Including blue) geese		5	5
Michigan:			
Ducks:		Point system.	
North Zone (Zone 1) [9]	Oct. 1-Nov. 14		
South Zone (Zones 2 and 3) [9]	Oct. 12-Nov. 25		
Coots		15	30
Geese		5	5
North Zone (Zone 1) [9]	Oct. 1-Nov. 14		
South Zone (Zones 2 and 3) [9]	Oct. 12-Nov. 30		
Including no more than:			
Canada geese		1	1
White-fronted geese		2	2
Canada and white-fronted geese combined.		2	2
Snow (including blue) geese		5	5
Minnesota:			
Ducks	Oct. 1-Nov. 14	5	10
Including no more than:			
Mallards		2	4
Black ducks		2	4
Mallards and black ducks combined		2	4
Mergansers		5	10
Coots		15	30
Geese		5	5
Canada geese:			
In Lac Qui Parle Quota Zone.[5 10]	Oct. 1-Nov. 14	1	2
In Southeastern Zone [11]	Oct. 1-Dec. 9	1	2
In remainder of State	Oct. 1-Nov. 14	1	2
In all areas, including no more than:			
White-fronted geese	Oct. 1-Dec. 9	2	2
Canada and white-fronted geese combined.		2	4
Snow (including blue) geese	Oct. 1-Dec. 9	5	5
Mississippi:			
Ducks	Dec. 3-Dec. 5; Dec. 10-Jan. 20	Point system.	
Coots		15	30
Geese:			
In areas west of Mississippi River (31°-33° North Lat.).	Same as Louisiana		
In remainder of State	Oct. 1-Oct. 30; Dec. 10-Jan. 18	5	5
Including no more than:			
Canada geese:			
Sardis Reservoir area.[12]	Oct. 1-Oct. 30; Dec. 10-Jan. 18	1	2
In remainder of State	Closed season		
White-fronted geese		2	2
Snow (including blue) geese		5	5
Missouri:			
Ducks		Point system.	
North Zone [13]	Oct. 25-Dec. 8		
South Zone [13]	Nov. 15-Dec. 29		
Coots		15	30
Geese		5	5

	Season dates	Limits	
		Bag	Possession
Missouri—Continued			
Including no more than:			
Canada geese:			
Southeastern Zone, east of U.S. Highway 67 and south of Crystal City.	Dec. 7–Jan. 20	2	4
In Swan Lake Zone [5] [6]	Oct. 25–Dec. 8	1	2
In remainder of State	Oct. 25–Dec. 8	2	2
White-fronted geese	Oct. 25–Jan. 2	2	2
Canada and white-fronted geese combined		2	4
Snow (including blue) geese	Oct. 25–Jan. 2	5	5
Ohio:			
In Pymatuning Area: [6]			
Ducks	Oct. 5*–Nov. 12; Nov. 30*–Dec. 10	4	8
Including no more than:			
Black ducks		2	4
Wood ducks		2	2
Mergansers		5	10
Coots		15	30
Geese:			
Canada	Oct. 5*–Dec. 13	1	2
Snow (including blue) geese	Oct. 5*–Dec. 3	2	4
In remainder of State:			
Ducks		Point system	
In North Zone [11]	Oct. 13–Nov. 26		
In South Zone [11]	Nov. 17–Dec. 31		
Coots		15	30
Geese	Oct. 13–Dec. 10; Dec. 21–Dec. 31	5	5
Including no more than:			
Canada:			
In Ashtabula, Trumbull, Marion, Wyandot, Lucas, Ottawa, Erie, Sandusky, Mercer and Auglaize Counties.		1	2
In remainder of State		2	2
White-fronted geese		2	2
Canada and white-fronted geese combined.		2	4
Snow (including blue) geese		5	5
Tennessee:			
Ducks	Nov. 12–Nov. 14; Dec. 10–Jan. 20	Point system	
Coots		15	30
Geese	Nov. 12–Jan. 20		
Including no more than:			
Canada geese: [15]			
West of State Highway 13		2	2
In remainder of State		1	2
White-fronted geese		2	2
Canada and white-fronted geese combined:			
West of State Highway 13		4	4
In remainder of State		3	4
Snow (including blue) geese		5	5
Wisconsin:			
Ducks	Oct. 1*–Oct. 9; Oct. 15–Nov. 19	Point system. [16]	
Coots		15	30
Geese: [5]			
In Horicon Zone [9]	Oct. 15–Nov. 30		
Including no more than:			
Canada geese		1	1
White-fronted geese		2	2
Canada and white-fronted geese combined.		2	3
Snow (including blue) geese		5	5
In East Central Zone [9]	Oct. 1*–Oct. 9; Oct. 15–Nov. 30		
Including no more than:			
Canada geese		1	2
White-fronted geese		2	2
Canada and white-fronted geese combined.		2	4
Snow (including blue) geese		5	5
In remainder of the State	Oct. 1*–Oct. 9; Oct. 15–Nov. 30		
Including no more than:			
Canada geese		1	2
White-fronted geese		2	2
Canada and white-fronted geese combined.		2	4
Snow (including blue) geese		5	5

[1] In Arkansas the area closed to Canada goose hunting is east of a boundary described as follows: Beginning at the junction of State Highway 1 and the Arkansas-Missouri border, then south along State Highway 1 to the junction of U.S. Highway 65 at McGehee, then south along U.S. Highway 65 to the junction of U.S. Highway 165, then south along U.S. Highway 165 to the Arkansas-Louisiana border.

[2] In Illinois the North Zone consists of St. Clair, Clinton, Marion, Clay, Richland, and Lawrence Counties and all counties to the north. The South Zone consists of the remainder of Illinois.

[3] Shooting hours for geese are sunrise until 3 p.m. local time.

[4] In Illinois, at Rend Lake and the Baldwin Fish and Wildlife Management area, the season will be Nov. 5–Dec. 30. See State regulations.

[5] In the States of Illinois and Wisconsin, the kill of Canada geese will be limited to 35,000 in each State. In the Ballard County Zone of Kentucky, the kill will be limited to 15,000 birds. In the Swan Lake Zone of Missouri the kill of Canada geese will be limited to 25,000 birds. In the Lac Qui Parle Zone of Minnesota, the kill of Canada geese will be limited to 5,000 birds. When it is determined by the Director, U.S. Fish and Wildlife Service, that the quota of Canada geese allotted to Southern Illinois Zone, the Ballard County Zone of Kentucky, the Swan Lake Zone of Missouri, or the Lac Qui Parle area of Minnesota will have been killed, the season for taking Canada geese in the respective areas will be closed by the Director upon giving public notice through local information media at least 48 hours in advance of the time and the day of closing.

[6] In Indiana the North Zone consists of that portion of the State north of State Highway 18. The South Zone consists of the remainder of the State.

[7] In Kentucky the Ballard County Zone is described as follows: A boundary beginning at the northwest city limits of Wickliffe in Ballard County to the middle of the Mississippi River; then north along the Mississippi River to the low water mark of the Ohio River along the Illinois shore to the Ballard-McCracken County line; then along the county line south to State Road 358; then south along State Road 358 to its junction with U.S. Highway 60 at La-Center; then southwest along U.S. Highway 60 to the northeast city limits of Wickliffe.

[9] In Louisiana the West Zone is described as follows: That portion of Louisiana west of a boundary beginning at the Arkansas-Louisiana border on Louisiana Highway 3; then south along Louisiana Highway 3 to Shreveport; then east along Interstate 20 to Minden; then south along Louisiana Highway 7 to Ringgold; then east along Louisiana Highway 4 to Jonesboro; then south along U.S. Highway 167 to Lafayette; then southeast along U.S. Highway 90 to Houma; then south along the Houma Navigation Channel to the Gulf of Mexico through Cat Island Pass. The East Zone consists of the remainder of the State.

[9] See State regulations.

[10] In Minnesota the Lac Qui Parle Zone is that area encompassed by a boundary described as follows: Beginning at Montevideo, then west on U.S. Highway 212 to U.S. Highway 75, then north on U.S. Highway 75 to State Highway 7 at Odessa, then north on County State Aid Highway 21, Big Stone County, to U.S. Highway 12, then east on U.S. Highway 12 to County State Aid Highway 17, Swift County, then south on County State Aid Highway 17 and County State Aid Highway 9, Chippewa County, to State Highway 40, then east on State Highway 40 to State Highway 29, then south on State Highway 29 to point of beginning at Montevideo.

[11] In Minnesota the Southeastern Zone is the same as described in 1971.

[12] In Mississippi the Sardis Reservoir area is that area encompassed by Interstate Highway 55 on the west, State Highway 7 on the east, State Highway 310 on the north and State Highway 6 on the south.

[13] In Missouri the North Zone consists of that portion of the State north of a line running easterly from the Kansas-Missouri border along U.S. Highway 160 to the junction of U.S. Highway 60 in Springfield, along U.S. Highway 60 to the junction of State Highway 21, along State Highway 21 to the junction of State Highway 34, and along State Highway 34 to the Illinois-Missouri border along the Mississippi River at Cape Girardeau. The South Zone consists of the remainder of the State.

[14] In Ohio the North Zone consists of that portion of Ohio north of Interstate Highway 70, except the Pymatuning Reservoir area. The South Zone consists of the remainder of the State.

[15] In Tennessee the season is closed in the Canada Goose restoration areas. See State regulations.

[16] In Wisconsin the point-system season is split, with different point values assigned during each split season by State regulation. See Wisconsin regulations for point values assigned by the State for various species during eac season.

*On opening day, shooting hours begin at noon local time.

CENTRAL FLYWAY

The Central Flyway consists of Colorado (east of the Continental Divide), Kansas, Montana (east of Hill, Chouteau, Cascade, Meagher, and Park Counties), Nebraska, New Mexico (east of the Continental Divide and outside the Jicarilla Apache Indian Reservation), North Dakota, Oklahoma, South Dakota, Texas, and Wyoming (east of the Continental Divide).

Shooting hours: One-half hour before sunrise to sunset daily except as otherwise restricted.

FLYWAYWIDE RESTRICTIONS

Mexican ducks—The season is closed on Mexican ducks throughout the Flyway. In order to provide greater protection to the endangered Mexican duck, all duck hunting is prohibited in the following areas:

New Mexico—That portion of New Mexico lying south and west of the boundary described as follows: Interstate Highway 10 from the Arizona-New Mexico border east to Deming, north on U.S. Highway 180 to State Highway 26, east on State Highway 26 to Interstate Highway 25, south on Interstate Highway 25 to Las Cruces, and south on Interstate Highway 10 to the New Mexico-Texas border. Also the Tula Rosa Creek Area, defined as beginning where State Highway 12 crosses the Continental Divide, and extending westward along State Highway 12 to Apache, and encompassing the area one mile south of the above boundary, all in Catron County.

Texas—That portion of Texas lying west and south of the boundary described as follows: Interstate Highway 10 from the Texas-New Mexico border south and east to Fort Stockton, U.S. Highway 385 from Fort Stockton south to the boundary of the Big Bend National Park, and southwesterly along the west boundary of the Big Bend-National Park to the U.S.-Mexico border along the Rio Grande.

Canvasbacks and redheads—Except in closed areas, the daily bag and possession limits may include no more than 1 canvasback or 1 redhead. Except in closed areas, canvasbacks count 100 points each and redheads 70 points each under the point system. The areas closed to canvasback and redhead hunting are: North Dakota—That portion lying east of State Highway 3, including all or portions of 27 counties. South Dakota—All of Marshall County; that portion of Day County east of State Highway 25; that portion of Codington County south of State Highway 20 and west of U.S. Highway 81; that portion of Hamlin County west of U.S. Highway 81; and that portion of Kingsbury County east of State Highway 25 and north of U.S. Highway 14. Texas—The counties of Brazoria, Chambers, Galveston, Harris, Jefferson, and Orange.

Mergansers—All mergansers are to be included within the daily bag and possession limits under conventional and point system regulations.

Ross' geese—No more than 1 Ross' goose may be taken daily or held in possession.

CHECK STATE REGULATIONS FOR ADDITIONAL RESTRICTIONS AND DELINEATIONS OF GEOGRAPHICAL AREAS WITHIN STATES. SPECIAL RESTRICTIONS MAY APPLY ON FEDERAL AND STATE PUBLIC HUNTING AREAS

The season dates for mergansers and coots are the same as those for ducks in the following tables:

	Season dates	Limits	
		Bag	Possession
Colorado:			
Ducks	Oct. 1–Oct. 14; Nov. 12–Jan. 19	Point system:	
Coots		15	30
Geese	Nov. 5–Jan. 22	2	4
Kansas:		Point system:	
Ducks:			
In High Plains area	Oct. 22–Dec. 4; Dec. 24–Jan. 22		
In remainder of State	Oct. 22–Dec. 4; Dec. 24–Jan. 3		
Coots		15	30
Geese		5	5
Including no more than:			
Canada geese	Oct. 15–Dec. 25	1	2
White-fronted geese	Oct. 15–Dec. 25	1	2
Canada and white-fronted geese combined		2	2
Snow (including blue) geese	Oct. 22–Jan. 15	5	5
Montana:			
Ducks	Oct. 1–Nov. 29; Dec. 17–Jan. 8	Point system:	
Coots		15	30
Geese	Oct. 1–Jan. 1	2	4

	Season dates	Limits	
		Bag	Possession
Nebraska:			
Ducks:			
In High Plains area	Oct. 15–Jan. 5	Point system.	
In remainder of State	Oct. 15–Oct. 16; Oct. 21–Dec. 12		
Coots		15	30
Geese		5	5
East of U.S. Highway 183 including no more than:			
Canada geese	Oct. 8–Dec. 18	1	2
White-fronted geese	Oct. 8–Dec. 18	1	2
Canada and white-fronted geese combined.		2	2
Snow (including blue) geese	Oct. 1–Dec. 25	5	5
West of U.S. Highway 183: including no more than:			
Canada geese	Oct. 8–Nov. 20	2	4
Canada geese	Nov. 21–Dec. 18	1	2
White-fronted geese	Oct. 8–Dec. 18	1	2
Canada and white-fronted geese combined.	Oct. 8–Nov. 20 Nov. 21–Dec. 18	2 2	4 2
Snow (including blue) geese	Oct. 1–Dec. 25	5	5
New Mexico:			
Ducks (except Mexican ducks)[1]	Nov. 1–Jan. 22	Point system.	
Mexican ducks	Closed season		
Coots		15	30
Geese:			
In Bernalillo, Sandoval, Sierra, Valencia and Socorro Counties.[2]		5	5
Including no more than:			
Canada geese	Dec. 17–Jan. 1	1	2
White-fronted geese	Dec. 17–Jan. 1	1	2
Canada and white-fronted geese combined		1	2
Snow (including blue) geese	Oct. 22–Jan. 22	5	5
In remainder of State including no more than:			
Canada geese	Oct. 22–Jan. 22	2	4
White-fronted geese	Oct. 22–Jan. 22	2	4
Canada and white-fronted geese combined		2	4
Snow (including blue) geese	Oct. 22–Jan. 22	5	5
North Dakota:			
Ducks	Oct. 1–Nov. 20; Nov. 24–Nov. 27	5	10
Including no more than:			
Female mallards		1	2
Wood ducks		2	4
Canvasback or redhead		1	1
Coots		15	30
Geese		5	5
Including no more than:			
Canada geese	Oct. 1–Nov. 13	1	2
White-fronted geese	Oct. 1–Nov. 13	2	2
Canada and white-fronted geese combined		2	2
Snow (including blue) geese	Oct. 1–Dec. 11	5	5
Oklahoma:			
Ducks		Point	system.
In High Plains area	Oct. 15–Jan. 5		
In remainder of State	Oct. 22–Nov. 13; Dec. 3–Jan. 3		
Coots		15	30
Geese:			
In Alfalfa, Bryan, Johnston, and Marshall Counties.		5	5
Including no more than:			
Canada geese	Nov. 5–Nov. 20; Dec. 3–Jan. 8	2	2
White-fronted geese	Nov. 5–Nov. 20; Dec. 3–Jan. 8	1	2
Canada and white-fronted geese combined		2	2
Snow (including blue) geese	Oct. 17–Nov. 20; Dec. 3–Jan. 22	5	5
In remainder of State:			
Including no more than:			
Canada geese	Oct. 17–Nov. 20; Dec. 3–Jan. 8	2	2
White-fronted geese	Oct. 17–Nov. 20; Dec. 3–Jan. 8	1	2
Canada and white-fronted geese combined.		2	2
Snow (including blue) geese	Oct. 17–Nov. 20; Dec. 3–Jan. 22	5	5
South Dakota:			
Ducks		Point	system.
In High Plains area	Oct. 8–Dec. 4; Dec. 17–Jan. 10		
In remainder of State	Oct. 8–Nov. 13; Nov. 19–Dec. 6		
Coots		15	30
Geese:			
In Buffalo, Brule, Campbell, Charles Mix, Corson, Dewey, Gregory, Hughes, Hyde, Lyman, Potter, Stanley, Sully and Walworth Counties.		5	5
Including no more than:			
Canada geese	Oct. 1–Nov. 27	1	2
White-fronted geese	Oct. 1–Nov. 27	1	2
Canada and white-fronted geese combined		2	2
Snow (including blue) geese	Oct. 1–Dec. 11	5	5
In remainder of State including no more than:			
Canada geese [3]	Oct. 1–Dec. 11	1	2
White-fronted geese	Oct. 1–Dec. 11	1	2
Canada and white-fronted geese combined		2	2
Snow geese	Oct. 1–Dec. 11	5	5
Texas:			
Ducks (except Mexican, fulvous tree duck, black-bellied tree duck, and masked duck):[1]		Point system.	
In High Plains area	Nov. 1–Jan. 22		
In remainder of State	Nov. 5–Nov. 27; Dec. 22–Jan. 22		
Mexican, fulvous tree duck, black-bellied tree duck, and masked duck.	Closed season		
Coots		15	30

	Season dates	Limits	
		Bag	Possession
Texas—Continued			
Geese:			
East of U.S. Highway 81 including no more than:		5	5
Canada geese	Nov. 5-Dec. 14; Dec. 22-Jan. 22	1	2
White-fronted geese	Nov. 5-Dec. 14; Dec. 22-Jan. 22	1	2
Canada and white-fronted geese combined.		1	2
Snow (including blue) geese	Nov. 5-Jan. 22	5	5
West of U.S. Highway 81 including no more than:			
Canada geese	Nov. 1-Jan. 22	2	4
White-fronted geese	Nov. 1-Jan. 22	2	4
Canada and white-fronted geese combined.		2	4
Snow (including blue) geese	Nov. 1-Jan. 22	5	5
Wyoming:			
Ducks	Oct. 1-Oct. 30; Nov. 17-Jan. 8	Point system.	
Coots		15	30
Geese	Oct. 8-Jan. 8	2	4

[1] The season is closed for all ducks in designated portions of New Mexico and Texas. For description of closed areas, see New Mexico and Texas under Mexican ducks in the Flywaywide Restrictions.
[2] See State and other Federal regulations for special restrictions on Bosque del Apache National Wildlife Refuge.
[3] See State regulations for special seasons and limits on Canada geese in local areas.

PACIFIC FLYWAY

The Pacific Flyway consists of Arizona, California, Idaho, Nevada, Oregon, Utah, and Washington; those portions of Colorado and Wyoming lying west of the Continental Divide; New Mexico west of the Continental Divide plus the Jicarilla Apache Indian Reservation; and in Montana, the Counties of Hill, Chouteau, Cascade, Meagher, and Park, and all counties west thereof.

Shooting hours: One-half hour before sunrise to sunset daily.

FLYWAYWIDE RESTRICTIONS

In all States in the Pacific Flyway:

Mexican ducks—The season is closed on Mexican ducks throughout the Flyway. In order to provide greater protection to the endangered Mexican duck, all duck hunting is prohibited in that portion of Cochise County, Arizona, lying south and east of the boundary described as follows: Interstate Highway 10 from the New Mexico-Arizona border west to Benson, south on U.S. Highway 80 to the San Pedro River, and south along the San Pedro River to the U.S.-Mexico border.

Aleutian Canada geese—The season is closed on Aleutian Canada geese throughout the Flyway.

Canvasbacks/redheads—No more than 2 canvasbacks or 2 redheads or 1 of each may be taken daily nor more than 4 singly or in the aggregate may be in possession.

Hooded mergansers—No more than 1 hooded merganser may be taken daily nor more than 2 may be in possession.

Dark geese—No more than 3 dark (Canada and white-fronted) geese may be taken daily nor more than 6 may be in possession.

Snow geese—No more than 3 snow geese may be taken daily nor more than 6 may be in possession.

Ross' geese—No more than 1 Ross' goose may be taken daily nor more than 1 may be in possession.

CHECK STATE REGULATIONS FOR ADDITIONAL RESTRICTIONS AND DELINEATIONS OF GEOGRAPHICAL AREAS WITHIN STATES. SPECIAL RESTRICTIONS MAY APPLY ON FEDERAL AND STATE PUBLIC HUNTING AREAS

The season dates for mergansers, coots, gallinules and snipe are the same as those for ducks in the following tables. Throughout the flyway the following limits apply except as otherwise noted: mergansers (except hooded), 5 daily and 10 in possession; hooded merganser, 1 daily and 2 in possession; and coots and gallinules (singly or in the aggregate), 25 daily and in possession. These limits are in addition to the regular waterfowl limits.

	Season dates	Limits	
		Bag	Possession
Arizona:			
Ducks (except Mexican) [1]	Oct. 1-Nov. 13; Dec. 5-Jan. 22	7	14
Mexican ducks	Closed season		
Geese	Oct. 1-Nov. 13; Dec. 5-Jan. 1	6	6
Including no more than:			
Canada geese		2	2
White-fronted geese		3	6
Canada and white-fronted geese combined		3	6
Snow geese		3	6
California:			
Tule Lake:			
Ducks	Oct. 15-Jan. 15	7	14
Geese	Oct. 15-Jan. 15	6	6
Including no more than:			
Canada geese and white-fronted geese combined.		3	6
Snow geese		3	6
Tehachapi area (except district 22):			
Ducks	Oct. 22-Jan. 22	7	14
Geese		6	6
Including no more than:			
Canada geese	Oct. 22-Jan. 1	2	2
White-fronted geese	Oct. 22-Jan. 22	3	3
Canada and white-fronted geese combined, but no more than 2 Canada geese per day or in possession.		3	3
Snow geese	Oct. 22-Jan. 22	3	3

	Season dates	Limits	
		Bag	Possession
District 22 (except Colorado River area):			
Ducks	Oct. 22-Jan. 22	7	14
Geese		6	6
Including no more than:			
Canada geese	Oct. 22-Jan. 1	1	2
White-fronted geese	Oct. 22-Jan. 22	3	3
Canada and white-fronted geese combined, but no more than 1 Canada goose per day or 2 in possession.		3	3
Snow geese	Oct. 22-Jan. 22	3	3
Colorado River area:			
Ducks	Oct. 1-Nov. 13; Dec. 5-Jan. 22	7	14
Geese	Oct. 1-Nov. 13; Dec. 5-Jan. 1	6	6
Including no more than:			
Canada geese		2	2
White-fronted geese		3	3
Canada and white-fronted geese combined, but no more than 2 Canada geese per day or in possession.		3	3
Snow geese		3	3
Remainder of State:			
Ducks	Oct. 22-Jan. 22	7	14
Geese		6	6
Including no more than:			
Canada geese:			
Counties of Del Norte and Humboldt.	Closed season		
Sacramento Valley area [2]	Dec. 15-Jan. 22	3	3
San Joaquin Valley area [3]	Oct. 22-Nov. 24	3	3
Remaining areas	Oct. 22-Jan. 22	3	3
White-fronted geese	Oct. 22-Jan. 22	3	3
Canada and white-fronted geese combined.		3	3
Snow geese	Oct. 22-Jan. 22	3	3
Statewide: Brant	Jan. 14-Feb. 22	4	8
Colorado:			
Ducks	Oct. 1-Oct. 14; Nov. 5-Jan. 22	7	14
Gallinules	Closed season		
Geese	Oct. 8-Dec. 18	6	6
Including no more than:			
Canada geese		2	2
White-fronted geese		3	6
Canada and white-fronted geese combined		3	6
Snow geese		3	6
Idaho			
Ducks:			
Columbia Basin	Oct. 1-Jan. 8	7	14
Remainder of State	Oct. 1-Jan. 1	7	14
Geese:		3	6
East of U.S. Highway 93	Oct. 8-Dec. 18		
West of U.S. Highway 93 (except 10 north counties).	Oct. 8-Dec. 18		
10 north counties	Oct. 1-Jan. 1		
Including no more than:			
Canada geese:			
East of U.S. Highway 93		2	2
West of U.S. Highway 93		2	2
10 north counties		3	6
White-fronted geese		3	6
Canada and white-fronted geese combined.		3	6
Snow geese		3	6
Montana:			
Ducks	Oct. 1-Jan. 1	7	14
Gallinules	Closed season		
Geese	Oct. 1-Jan. 1	6	6
Including no more than:			
Canada geese		2	2
White-fronted geese	Oct. 1-Jan. 1	3	6
Canada and white-fronted geese combined		3	6
Snow geese	Oct. 1-Jan. 1	3	6
Nevada:			
Clark and Lincoln Counties:			
Ducks	Oct. 1-Nov. 13; Dec. 5-Jan. 22	7	14
Geese	Oct. 1-Nov. 13; Dec. 5-Jan. 1	5	5
Including no more than:			
Canada geese		2	2
White-fronted geese		2	2
Canada and white-fronted geese combined.		2	2
Snow geese		3	3
Remainder of State:			
Ducks	Oct. 15-Jan. 15	7	14
Geese	Nov. 19-Jan. 22	6	6
Including no more than:			
Canada geese and white-fronted geese combined.		3	6
Snow geese		3	6
New Mexico:			
Ducks	Oct. 1-Jan. 1	7	14
Geese		2	2
South of U.S. Highway 66	Oct. 1-Dec. 11		
North of U.S. Highway 66	Season closed		
Oregon:			
Baker and Malheur Counties:			
Ducks	Oct. 15-Jan. 22	7	14
Geese	Oct. 15-Dec. 25	2	2
Including no more than:			
Canada geese		2	2
White-fronted geese		2	2
Canada and white-fronted geese combined.		2	2
Snow geese		2	2

	Season dates	Limits	
		Bag	Possession
Morrow, Umatilla, Gilliam, Sherman, Wasco, Union, and Wallowa Counties:			
Ducks	Oct. 15-Jan. 22	7	14
Geese	Oct. 15-Jan. 22	6	6
Including no more than:			
Canada and white-fronted geese combined.		3	6
Snow geese		3	6
Remainder of State:			
Ducks	Oct. 15-Jan. 15	7	14
Geese	Oct. 15-Jan. 15	6	6
Including no more than:			
Canada and white-fronted geese combined.		3	6
Snow geese		3	6
State wide: Brant	Nov. 19-Feb. 19	4	8
Utah:			
Ducks	Oct. 1-Jan. 1	7	14
Geese:		5	5
Washington County	Oct. 22-Jan. 1		
Including no more than:			
Canada geese		2	2
White-fronted geese		2	2
Canada and white-fronted geese combined.		2	2
Snow geese		3	3
Daggett and Uinta Counties	Nov. 5-Dec. 11		
Including no more than:			
Canada geese		1	1
White-fronted geese		1	1
Canada and white-fronted geese combined.		1	1
Snow geese		3	3
Remainder of State	Oct. 8-Dec. 18		
Including no more than:			
Canada geese		2	2
White-fronted geese		2	2
Canada and white-fronted geese combined.		2	2
Snow geese		3	3
Washington:			
East 10-county area:			
Ducks	Oct. 15*-Jan. 22	7	14
Geese	Oct. 15*-Jan. 22	3	6
Including no more than:			
Canada and white-fronted geese combined.		3	6
Snow geese		2	4
Remainder east of Cascade Mountains:			
Ducks	Oct. 15*-Jan. 22	7	14
Geese	Oct. 15*-Jan. 15	3	6
Including no more than:			
Canada and white-fronted geese combined.		3	6
Snow geese		2	4
West of Cascade Mountains:			
Ducks	Oct. 15*-Jan. 15	7	14
Geese:			
Island, Skagit, Snohomish, and Whatcom Counties.	Oct. 15*-Jan. 1		
Remainder west of Cascade Mountains.	Oct. 15*-Jan. 15	3	6
Including no more than:			
Canada and white-fronted geese combined.		3	6
Snow geese		2	4
Statewide: Brant	Nov. 19-Feb. 19	4	8
Wyoming:			
Ducks	Oct. 1-Dec. 31	7	14
Gallinules	Closed season		
Geese	Oct. 1-Dec. 31	6	6
Including no more than:			
Canada geese		2	2
White-fronted geese		3	6
Canada and white-fronted geese combined		3	6
Snow geese		3	6

[1] The season is closed for all ducks in a designated portion of Arizona. For description of the closed area, see Mexican ducks under Flywaywide Restrictions.

[2] In California the Sacramento Valley area is encompassed as follows: Beginning at Willows in Glenn County proceeding south on Interstate Highway 5 to the junction with Hahn Rd. north of Arbuckle in Colusa County; then easterly on Hahn Rd. and the Grimes-Arbuckle Rd. to Grimes on the Sacramento River, then south on the Sacramento River to the Tisdale bypass; then easterly on the Tisdale bypass to where it meets O'Banion Rd.; then easterly on O'Banion Rd. to State Highway 99; then northerly on State Highway 99 to its junction with the Gridley-Colusa Highway in Gridley in Butte County; then westerly on the Gridley-Colusa Highway to its junction with the River Rd,; then northerly on the River Rd. to the Princeton Ferry; then westerly across the Sacramento River to State Highway 45; then northerly on State Highway 45 to its junction with State Highway 162; then continuing northerly on State Highway 45-162 to Glen; then westerly on State Highway 162 to the point of beginning in Willows

[3] In California the San Joaquin Valley is the area described as follows: Beginning at Modesto in Stanislaus County proceeding west on State Highway 132 to the junction of Interstate 5; then southerly on Interstate 5 to the junction of State Highway 152 in Merced County; then easterly on State Highway 152 to the junction of State Highway 59; then northerly on State Highway 59 to the junction of State Highway 99 at Merced; then northerly and westerly to the point of beginning in Modesto.

(e) *Point system—Ducks, mergansers, and coots.* The States selecting the point system bag limits on designated species are listed in the table under § 20.105(d).

(1) The point values assigned to the species and sexes are as follows:

ATLANTIC FLYWAY

100 points	70 points	10 points	25 points
Canvasback (except in closed areas).	Female mallard Black duck Mottled duck or Florida Wood duck [1]	Pintail Blue-winged teal Green-winged teal [2]	Male mallard and all other species of ducks
Florida only: Fulvous tree duck	Redhead (except in closed areas) Hooded merganser	Shoveler Gadwall Scaup Sea ducks [3] Mergansers (except hooded)	

[1] In Virginia prior to Oct. 16 the wood duck counts 25 points.
[2] In New Jersey the point value for green-winged teal is 25 by State regulation.
[3] Sea ducks count 10 points each during the point-system season, but during any part of the regular sea duck season falling outside the point-system season, sea duck daily bag and possession limits of 7 and 14, respectively, apply

MISSISSIPPI FLYWAY [1]

100 points	70 points	10 points [2]	25 points
Canvasback (except where closed)	Female mallard Black duck Wood duck Redhead (except where closed) Hooded merganser	Pintail Blue-winged teal Green-winged teal Cinnamon teal Shoveler Gadwall Scaup Mergansers (except hooded)	Male mallard and all other species of ducks

[1] In Wisconsin the point-system season is split, with different, more restrictive point values assigned during each split season by State regulation. See Wisconsin regulations for point values assigned by the State for various species during each season.
[2] In Michigan the point values for pintail, blue-winged teal, green-winged teal, cinnamon teal, shoveler, gadwall, scaup and mergansers (except hooded) are 15 points each, by State regulation.

CENTRAL FLYWAY

100 points	70 points	10 points	20 points
Canvasback (except where closed)	Female mallard Wood duck Redhead (except where closed) Hooded Merganser	Pintail Blue-winged teal Green-winged teal Cinnamon Teal Shoveler Gadwall Scaup Mergansers (except hooded)	Male mallard and all other species of ducks (Season is closed on Mexican ducks.)

Pacific Flyway: There is no point system in the Pacific Flyway.

Coots have no point value but conventional bag limits of 15 daily and 30 in possession apply.

(2) The daily bag limit is reached when the point value of the last bird taken added to the sum of the point values of the other birds already taken during that day reaches or exceeds 100 points. The possession limit is the maximum number of birds of species and sex which could have legally been taken in 2 days. The shooting hours are one-half hour before sunrise until sunset daily.

(f) *Scaup only season.* A special hunting season for scaup only is prescribed according to the following table in those areas which are described, delineated, and designated in the hunting regulations of the respective States.

Daily bag limit 5
Possession limit 10

Shooting hours: One-half hour before sunrise to sunset daily.

CHECK STATE REGULATIONS FOR ADDITIONAL RESTRICTIONS AND DELINEATIONS OF GEOGRAPHICAL AREAS WITHIN STATES

Seasons in the Atlantic Flyway:

Connecticut	Jan. 13–Jan. 28.
Florida	Jan. 21–Jan. 31.
Maryland	Nov. 26–Dec. 6.
Massachusetts	Dec. 26–Jan. 10.
New Jersey	Jan. 2–Jan. 17.
New York: Long Island Zone only	Jan. 7–Jan. 22.
Rhode Island	Jan. 14–Jan. 29.
Virginia	Jan. 8–Jan. 23.

Seasons in the Mississippi Flyway:

Louisiana	Jan. 15–Jan. 30.
Michigan	Nov. 26–Dec. 11.
Ohio	Jan. 2–Jan. 17.
Wisconsin	Nov. 20–Dec. 5.

(g) *Extra teal during regular season.* A hunting season for teal ducks (blue-winged only) is prescribed according to the following table. The daily bag and possession limits specified here are in addition to any other bag and possession limits specified elsewhere.

Daily bag limit 2
Possession limit 4

Shooting hours: One-half hour before sunrise until sunset.

CHECK STATE REGULATIONS FOR ADDITIONAL RESTRICTIONS AND DELINEATIONS OF GEOGRAPHICAL AREAS WITHIN STATES

Seasons in the Atlantic Flyway:	
Connecticut	Oct. 12*–Oct. 20.
Delaware	Nov. 2*–Nov. 10.
Georgia	Nov. 16*–Nov. 24.
Maine:	
North Zone	Oct. 1–Oct. 9.
South Zone	Oct. 5*–Oct. 13.
Massachusetts	Oct. 12*–Oct. 20.
New Hampshire	Oct. 5*–Oct. 13.
New York:	
North Zone	Oct. 5*–Oct. 13.
South Zone	Oct. 19*–Oct. 27.
West Zone	Oct. 12*–Oct. 20.
Lake Champlain	Oct. 5*–Oct. 13.
North Carolina	Oct. 5*–Oct. 8.
South Carolina	Dec. 9–Dec. 17.
Vermont	Oct. 5*–Oct. 13.
West Virginia	Oct. 7–Oct. 15.
Seasons in the Mississippi Flyway.	None.
Seasons in the Central Flyway: North Dakota.	Oct. 1–Oct. 9.
Seasons in the Pacific Flyway.	None.

*On opening day, shooting hours begin at noon local time.

(h) *Extra scaup during regular season.* The following States may take an extra bag limit on scaup of two daily and four in possession during the regular duck hunting season. The daily bag and possession limits specified here are in addition to any other bag and possession limits specified elsewhere.

CHECK STATE REGULATIONS FOR ADDITIONAL RESTRICTIONS AND DELINEATIONS OF GEOGRAPHICAL AREAS WITHIN STATES

Seasons in the Atlantic Flyway:	
Delaware	Nov. 2*–Nov. 26; Dec. 14*–Jan. 7.
Georgia	Nov. 16*–Nov. 27; Dec. 14*–Jan. 20.
Maine: South Zone only	Oct. 5*–Oct. 22; Nov. 9*–Dec. 10.
New Hampshire	Oct. 5*–Oct. 30; Nov. 23*–Dec. 16.
New York:	
North Zone	Oct. 5*–Nov. 18.
South Zone	Oct. 19*–Dec. 2.
West Zone	Oct. 12*–Nov. 17; Dec. 21*–Jan. 2.
North Carolina	Oct. 5*–Oct. 8; Dec. 7*–Jan. 20.
Pennsylvania	Oct. 5*–Nov. 12; Nov. 30–Dec. 10.
South Carolina	Nov. 23*–Nov. 27; Dec. 7*–Jan. 20.
West Virginia	Oct. 5*–Oct. 22; Dec. 14*–Jan. 14.

*On opening day, shooting hours begin at noon local time.

(i) *Special scaup and goldeneye season.* A special hunting season for scaup and goldeneye is prescribed according to the following table in the Lake Champlain areas which are described, delineated, and designated in the hunting regulations of the respective States.

The daily bag limit is 3 scaup or 3 goldeneyes or 3 in the aggregate. The possession limit is 6 scaup or 6 goldeneyes or 6 in the aggregate. Shooting hours: One-half hour before sunrise to sunset daily.

CHECK STATE REGULATIONS FOR ADDITIONAL RESTRICTIONS AND DELINEATIONS OF GEOGRAPHICAL AREAS WITHIN STATES

Seasons in the Lake Champlain Area Only:	
New York	Nov. 26–Dec. 11.
Vermont	Nov. 26–Dec. 11.

Section 20.106 is amended as follows:

§ 20.106 Seasons, limits, and shooting hours for lesser sandhill (little brown) cranes.

Subject to the applicable provisions of the preceding sections of this part, open seasons are prescribed for taking lesser sandhill (little brown) cranes with a daily bag limit of three and a possession limit of six, and with shooting hours from one-half hour before sunrise until sunset, in the following areas for the dates indicated:

(a) In the Central Flyway portion of Colorado except the San Luis Valley area, seasons dates are October 1 through November 6, 1977.

(b) In the New Mexico counties of Chaves, Curry, De Baca, Eddy, Lea, Quay, and Roosevelt, and in that portion of Texas west of a boundary from the Oklahoma border along U.S. Highway 287 to U.S. Highway 87 at Dumas, along U.S. Highway 87 (and including all of Howard and Lynn Counties) to U.S. Highway 277 at San Angelo, and along U.S. Highway 277 to the International Toll Bridge in Del Rio, season dates in the New Mexico portion are October 29, 1977, through January 29, 1978, and in the Texas portion, November 1, 1977, through January 31, 1978.

(c) In that portion of Oklahoma lying west of U.S. Highway 81, and in that portion of Texas east of a boundary from the Oklahoma border along U.S. Highway 287 to U.S. Highway 87 at Dumas, then along U.S. Highway 87 to San Angelo, and west of a line running north from San Angelo along U.S. Highway 277 to Abilene, along State Highway 351 to Albany, along U.S. Highway 283 to Vernon, and then along U.S. Highway 183 east to the Oklahoma border, season dates in the Oklahoma portion are November 26, 1977, through January 22, 1978, and in the Texas portion, December 5, 1977, through January 31, 1978.

(d) In the North Dakota counties of Kidder, Stutsman, Benson, Emmons, Pierce, McLean, Sheridan, and Burleigh, and in the South Dakota counties of Campbell, Walworth, Potter, Dewey, and Corson, the season dates are September 7 through September 11, 1977.

(e) In Phillips County, Montana, the season dates are October 1 through November 6, 1977.

(f) In Platte and Goshen Counties, Wyoming, the season dates are October 8 through November 6, 1977.

(g) Every hunter participating in the lesser sandhill (little brown) crane hunting season must obtain and carry in his possession while hunting lesser sandhill cranes a Federal lesser sandhill crane hunting permit available without cost from conservation agencies in the States where crane hunting seasons are allowed. The permit must be displayed to an authorized law enforcement official upon request.

Section 20.107 is amended as follows.

§ 20.107 Seasons, limits, and shooting hours for whistling swans.

Subject to the applicable provisions of the preceding sections of this part, open seasons are prescribed for taking a limited number of whistling swans in the States of Montana, Nevada, and Utah, subject to the following conditions:

(a) The season must run concurrently with the season for ducks.

(b) In Montana, no more than 500 permits may be issued authorizing each permittee to take one whistling swan in the County of Teton. The season dates are October 1, 1977, through January 1, 1978.

(c) In Nevada, no more than 500 permits may be issued authorizing each permittee to take one whistling swan in the County of Churchill. The season dates are November 5, 1977, through January 15, 1978.

(d) In Utah, no more than 2,500 permits may be issued authorizing each permittee to take one whistling swan. The season dates are October 1, 1977, through January 1, 1978.

(e) Permits and correspondingly numbered metal locking seals must be issued by the appropriate State conservation agency on an equitable basis without charge.

§ 20.108 Non-toxic shot zones.

* * * * *

Section 20.109 is amended as follows.

§ 20.109 Exended seasons, limits, and hours for taking migratory game birds by falconry.

Subject to the applicable provisions of the preceding sections of this part, the areas open to hunting, the respective open seasons (dates inclusive), the hawking hours, and the daily bag and possession limits on the species designated in this section are prescribed as follows:

Daily bag limits: [1]

Waterfowl (ducks, geese, and mergansers).	2 singly or in the aggregate.
Coots, gallinules, rails, snipe, woodcock, doves and pigeons only.	4 singly or in the aggregate.

Possession limits:

Waterfowl (ducks, geese and mergansers).	4 singly or in the aggregate.
Coots, gallinules, rails, snipe, woodcock, doves and pigeons only.	8 singly or in the aggregate.

Hawking hours: One-half hour before sunrise until sunset daily.

CHECK STATE REGULATIONS FOR ADDITIONAL RESTRICTIONS

Seasons in:

Maryland:	
Mourning doves	Dec. 12–Jan. 15.
Gallinules, rails and woodcock.	Sept. 1–Dec. 16.
Ducks, geese, mergansers and coots.	Oct. 13–Jan. 20.

NOTE: Hawking during regular sea duck season is prohibited by State regulations from Oct. 6 through Oct. 12. Hawking of Canada geese in Delmarva Peninsula Area from January 21 through January 27 also prohibited by State regulations.

Virginia:	
Mourning doves	Nov. 26–Dec. 20 and Jan. 3–14.
Rails (Clapper, King, Sora and Virginia).	Nov. 19–Dec. 24.
Gallinules and woodcock.	Oct. 6–Jan. 20.
Ducks, mergansers, coots and geese.[2]	Oct. 9–Jan. 20.
Except:	
Sea ducks	Oct. 6–Jan. 20.
Special scoup	Oct. 9–Jan. 23.
Canada geese in Delmarva Peninsula Area.	Oct. 17–Jan. 31.
Illinois:	
Ducks, geese, coots, and mergansers:	
North Zone	Dec. 6–Jan. 15.
South Zone	Dec. 20–Jan. 15.
Gallinules	Nov. 12–Jan. 15.
Rails	Nov. 12–Dec. 18.
Woodcock	Dec. 20–Jan. 15.
Mourning doves	Nov. 12–Dec. 18.
Indiana:	
Ducks, coots, mergansers:	
North Zone	Oct. 1–Oct. 27 and Dec. 12–Jan. 6.
South Zone	Oct. 1–Nov. 17 and Jan. 2–Jan. 6.
Gallinules and rails.	Nov. 10–Dec. 16.
Woodcock	Sept. 1–Sept. 23 and Nov. 28–Dec. 16.
Snipe	Nov. 28–Dec. 16.
Colorado:	
Ducks, geese, and mergansers:	
Central Flyway portion.	Oct. 22–Nov. 5.
Pacific Flyway portion.	Oct. 22–Nov. 4.
Oklahoma:[2]	
Ducks, geese, and mergansers.	Oct. 17–Jan. 22.
Except: Ducks and mergansers in High Plains area.	Oct. 15–Jan. 20.
Idaho:	
Mourning doves	Sept. 19–Oct. 20.
Ducks, coots, and mergansers.	Jan. 2–Jan. 15.
Snipe	Jan. 2–Jan. 15.
Utah:	
Ducks, geese, and mergansers.	Jan. 2–Jan. 15.
Coots and snipe	Jan. 2–Jan. 15.
Washington:[2]	
Ducks and mergansers, geese and coots.	Oct. 2–Oct. 9.
Except:	
Ducks, mergansers and coots East of Cascade Mountains.	Oct. 2–Oct. 8.
Geese in East 10-County Area.	Oct. 2–Oct. 8.

[1] Daily bag and possession limits for falconry will vary depending upon whether the regular season for the species being sought is open at the time of hunting. Falconry is a permitted means of taking designated migratory game birds. When regular seasons are open, regular bag limits will apply to taking by falconry. When the regular season is closed for a species, but the special falconry season is open, bag limits set for the special falconry season will apply. Check State regulations.

[2] Also includes regular seasons. Also check State regulations.

ECONOMIC IMPACT REVIEW

NOTE.—The Service has determined that this document does not contain a major proposal requiring preparation of an Economic Impact Statement under Executive Order 11949 and OMB Circular A–107.

Dated: September 9, 1977.

WALTER R. MCALLESTER,
Acting Director, United States Fish and Wildlife Service.

[FR Doc.77–26723 Filed 9–28–77;3:17 pm]

[4310–10]

PART 32—HUNTING

Opening of Kirwin National Wildlife Refuge, Kansas, to Migratory Game Hunting

AGENCY: Fish and Wildlife Service, Interior.

ACTION: Special regulation.

SUMMARY: The Director has determined that the opening to migratory game hunting of Kirwin National Wildlife Refuge is compatible with the objectives for which the area was established, will utilize a renewable natural resource, and will provide additional recreational opportunity to the public.

DATES: Geese—Canada and/or White-Front: October 15, 1977, through December 25, 1977, inclusive. Geese—Snow and Ross: October 22, 1977, through January 15, 1978. Ducks—October 22, 1977, through December 4, 1977, inclusive, and December 24, 1977, through January 3, 1978, inclusive.

FOR FURTHER INFORMATION CONTACT:

Keith S. Hansen, Kirwin, Kans. 67644. Telephone: (913–646–2373).

SUPPLEMENTARY INFORMATION:

§ 32.12 Special regulations; migratory game birds; for individual wildlife refuge areas.

Public hunting of ducks, geese, and coot on the Kirwin National Wildlife Refuge, Kansas, is permitted only on the area designated by signs as open to hunting. This open area, comprising 620 acres, is delineated on maps available at refuge headquarters, 5 miles west of Kirwin, Kansas, and from the Regional Director, U.S. Fish and Wildlife Service, P.O. Box 25486, Denver Federal Center, Denver, Colorado 80225.

Hunting shall be in accordance with all applicable State regulations governing the hunting of ducks, geese, and coots subject to the following special condition:

(1) Blinds—Temporary blinds constructed above ground from natural vegetation are permitted. Digging of holes or pits to serve as blinds is prohibited.

The provisions of this special regulation supplement the regulations which govern hunting on wildlife refuge areas generally which are set forth in Title 50 Code of Federal Regulations, Part 32. The public is invited to offer suggestions and comments at any time.

NOTE.—The U.S. Fish and Wildlife Service has determined that this document does not contain a major proposal requiring preparation of an Economic Impact Statement under Executive Order 11949 and OMB Circular A–107.

Dated: September 15, 1977.

KEITH S. HANSEN,
Refuge Manager.

[FR Doc.77–28669 Filed 9–28–77;8:45 am]

Title 7—Agriculture

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

[Valencia Orange Reg. 575]

PART 908—VALENCIA ORANGES GROWN IN ARIZONA AND DESIGNATED PART OF CALIFORNIA

Limitation of Handling

AGENCY: Agricultural Marketing Service, USDA.

ACTION: Final rule.

SUMMARY: This regulation establishes the quantity of California-Arizona Valencia oranges that may be shipped to fresh market during the weekly regulation period September 30–October 6, 1977. This regulation is needed to provide for orderly marketing of fresh Valenica oranges for the regulation period because of the production and marketing situation confronting the orange industry.

EFFECTIVE DATE: September 30, 1977.

FOR FURTHER INFORMATION CONTACT:

Charles R. Brader, Deputy Director, Fruit and Vegetable Division, Agricultural Marketing Service, U.S. Department of Agriculture, Washington, D.C. 20250 (202-447-3545).

SUPPLEMENTARY INFORMATION: *Findings.* (1) pursuant to the amended marketing agreement and Order No. 908, as amended (7 CFR Part 908), regulating the handling of Valencia oranges grown in Arizona and designated part of California, effective under the applicable provisions of the Agricultural Marketing Agreement Act of 1937, as amended (7 U.S.C. 601-674), and upon the basis of the recommendations and information submitted by the Valencia Orange Administrative Committee, established under the amended marketing agreement and order, and upon other available information, it is found that the limitation of handling of Valencia oranges, as provided in this regulation will tend to effectuate the declared policy of the act.

(2) The need for this regulation to limit the quantities of Valencia oranges that may be marketed from District 1, District 2, or District 3 during the specified week stems from the production and marketing situation confronting the Valencia orange industry.

(i) The committee has submitted its recommendation for the quantities of Valencia oranges that should be marketed during the specified week. The recommendation, designed to provide equity of marketing opportunity to handlers in all districts, resulted from consideration of the factors covered in the order. The committee further reports the fresh market demand for Valencia oranges continues strong. Average f.o.b. price was $5.16 per carton on 649 cars for the week ended September 22, as compared with $4.77 per carton on 634 cars the previous week. Track and rolling supplies at 309 cars were up 43 cars from last week.

(ii) Having considered the recommendation and information submitted by the committee, and other available information, the Secretary finds that the quantities of Valencia oranges which may be handled should be established as provided in this regulation.

(3) It is hereby further found that it is impracticable and contrary to the public interest to give preliminary notice, engage in public rulemaking procedure, and postpone the effective date of this regulation until October 31, 1977 (5 U.S.C. 553), because the time intervening between the date when information become available upon which this regulation is based and the time when this regulation must become effective in order to effectuate the declared policy of the act is insufficient. A reasonable time is permitted for preparation for such effective time; and good cause exists for making the regulation effective as specified. The committee held an open meeting during the current week, after giving due notice, to consider supply and market conditions for Valencia oranges and the need for regulation. Interested persons were afforded an opportunity to submit information and views at this meeting. The recommendation and supporting information for regulation during the period specified were promptly submitted to the Secretary after the meeting was held, and information concerning such provisions and effective time has been provided to handlers of Valencia oranges. It is necessary, to effectuate the declared policy of the act, to make this regulation effective during the period specified. The committee meeting was held on September 27, 1977.

§ 908.875 Valencia Orange Regulation 575.

(a) *Order.* (1) The quantities of Valencia oranges grown in Arizona and designated part of California which may be handled during the period September 30, 1977, through Oct. 6, 1977, are hereby fixed as follows:

(i) District 1: 300,000 cartons;

(ii) District 2: 450,000 cartons;

(iii) District 3: Unlimited.

(2) As used in this section, "handled," "District 1," "District 2," "District 3," and "carton" have the same meaning as when used in the amended marketing agreement and order.

(Secs. 1-19, 48 Stat. 31, as amended; 7 U.S.C. 601-674.)

Dated: September 28, 1977.

CHARLES R. BRADER,
Deputy Director, Fruit and Vegetable Division, Agricultural Marketing Service.

[FR Doc.77-28979 Filed 9-28-77;12:09 pm]

[3410-02]

PART 948—IRISH POTATOES GROWN IN COLORADO, AREA NO. 2

PART 980—VEGETABLES: IMPORT REGULATIONS

Handling Regulation

AGENCY: Agricultural Marketing Service, USDA.

ACTION: Final rule.

SUMMARY: This regulation requires fresh market shipments of potatoes grown in Colorado, Area No. 2 to be inspected and meet minimum grade, size and maturity requirements. The regulation should promote orderly marketing of such potatoes by keeping less desirable qualities and sizes from being shipped to consumers.

EFFECTIVE DATE: September 29, 1977.

FOR FURTHER INFORMATION CONTACT:

Charles R. Brader, Deputy Director, Fruit and Vegetable Division, AMS, U.S. Department of Agriculture, Washington, D.C. 20250. Telephone: 202-447-3545.

SUPPLEMENTARY INFORMATION: Marketing Agreement No. 97 and Order No. 948, both as amended, regulate the handling of potatoes grown in designated counties of Colorado Area No. 2. It is effective under the Agricultural Marketing Agreement Act of 1937, as amended (7 U.S.C. 601-674). The Colorado Area No. 2 Potato Committee, established under the order, is responsible for its local administration.

Notice of proposed rulemaking was published in the September 2, 1977, FEDERAL REGISTER (42 FR 44242) inviting comments by September 19, 1977. None was received.

This regulation is based upon recommendations made by the committee at its public meeting in Monte Vista, Colo., on August 18, 1977.

The grade, size, maturity and inspection requirements specified herein are similar to those issued during past seasons. They are necessary to prevent potatoes of low quality or less desirable sizes from being distributed to fresh market outlets. They will benefit consumers and producers by standardizing and improving the quality of the potatoes shipped from the production area.

Exceptions are provided to certain of these requirements to recognize special situations in which such requirements would be inappropriate or unreasonable.

Shipments are permitted to certain special purpose outlets without regard to the grade, size, maturity and inspection requirements, provided that safeguards are met to prevent such potatoes from reaching unauthorized outlets. Certified seed is exempt because requirements for this outlet differ greatly from those for fresh market. Shipments for use as livestock feed likewise are exempt. Since no purpose would be served by regulating potatoes used for charity purposes, such shipments are exempt. Potatoes for most processing uses are exempt under the legislative authority for this part.

Findings. After consideration of all relevant matter presented, including the proposal set forth in the aforesaid notice which was recommended by the Colorado Area No. 2 Potato Committee, established pursuant to said marketing agreement and order, it is hereby found that the handling regulation, as hereinafter set forth, will tend to effectuate the declared policy of the act.

It is hereby further found that good cause exists for not postponing the effective date of this section until 30 days after its publication in the FEDERAL REGISTER (5 U.S.C. 553) in that (1) shipments of potatoes grown in the production area will begin on or about the effective date specified herein, (2) to maximize benefits to producers, this regulation should apply to as many shipments as possible during the marketing season, and (3) compliance with this regulation, which is similar to that in effect during previous marketing seasons, will not require any special preparation on the part of persons subject thereto which cannot be completed by the effective date hereof.

The regulation is as follows:

§ 948.378 Handling regulation.

During the period September 29, 1977, through June 30, 1978, no person shall handle any lot of potatoes grown in Area No. 2 unless such potatoes meet the requirements of paragraphs (a), (b), and (c) of this section, or unless such potatoes are handled in accordance with paragraphs (d), (e), or (f) of this section. The maturity requirements specified in paragraph (b) shall terminate October 31, 1977, at 11:59 p.m. M.S.T.

(a) *Minimum grade and size requirements.*

(1) *Round varieties.* U.S. No. 2, or better grade, 2 inches minimum diameter.

(2) *Long varieties.* U.S. No. 2, or better grade, 1⅞ inches minimum diameter.

(3) *All varieties.* Size B, if U.S. No. 1, or better.

(4) *All varieties for export.* 1½ inches minimum diameter.

(b) *Maturity (skinning) requirements.*

(1) *Russet Burbank and Red McClure varieties.* For U.S. No. 2 grade not more than "moderately skinned" and for other grades not more than "slightly skinned."

(2) *All other varieties.* Not more than "moderately skinned."

(c) *Inspection.*

(1) No handler shall handle any potatoes for which inspection is required unless an appropriate inspection certificate has been issued with respect thereto and the certificate is valid at the time of shipment. For purposes of operation under this part it is hereby determined pursuant to paragraph (d) of § 948.40, that each inspection certificate shall be valid for a period not to exceed 5 days following the date of inspection as shown on the inspection certificate.

(2) No handler may transport or cause the transportation by motor vehicle of any shipment of potatoes for which an inspection certificate is required unless each shipment is accompanied by a copy of the inspection certificate applicable thereto and the copy is made available for examination at any time upon request.

(d) *Special purpose shipments.* (1) The grade, size, maturity and inspection requirements of paragraphs (a), (b), and (c) of this section and the assessment requirements of this part shall not be applicable to shipments of potatoes for:

(i) Livestock feed;

(ii) Relief or charity; or

(iii) Canning, freezing, and "other processing" as hereinafter defined.

(2) The grade, size, maturity and inspection requirements of paragraphs (a), (b), and (c) of this section shall not be applicable to shipments of seed pursuant to § 948.6 but such shipments shall be subject to assessments.

(e) *Safeguards.* Each handler of potatoes which do not meet the grade, size, and maturity requirements of paragraphs (a) and (b) of this section and which are handled pursuant to paragraph (d) for any of the special purposes set forth therein shall:

(1) Prior to handling, apply for and obtain a Certificate of Privilege from the committee;

(2) Furnish the committee such reports and documents as requested, including certification by the buyer or receiver as to the use of such potatoes; and

(3) Bill each shipment directly to the applicable processor or receiver.

(f) *Minimum quantity.* For purposes of regulation under this part, each person may handle up to but not to exceed 1,000 pounds of potatoes without regard to the requirements of paragraphs (a), (b), and (c) of this section, but this exception shall not apply to any shipment which exceeds 1,000 pounds of potatoes.

(g) *Definitions.* The terms "U.S. No. 1," "U.S. No. 2," "Size B," "slightly skinned," and "moderately skinned" shall have the same meaning as when used in the U.S. Standards for Potatoes (7 CFR 51.1540–51.1566), including the tolerances set forth therein. The term "other processing" has the same meaning as the term appearing in the act and includes, but is not restricted to, potatoes for dehydration, chips, shoestrings, starch, and flour. It includes only that preparation of potatoes for market which involves the application of heat or cold to such an extent that the natural form or stability of the commodity undergoes a substantial change. The act of peeling, cooling, slicing, dicing, or applying material to prevent oxidation does not constitute "other processing." Other terms used in this section shall have the same meaning as when used in Marketing Agreement No. 97, as amended, and this part.

(h) *Applicability to imports.* Pursuant to § 8e of the act and § 980.1, Import regulations (7 CFR 980.1), Irish potatoes of the red skinned round type, except certified seed potatoes, imported into the United States during the period October 3, 1977, through June 30, 1978, shall meet the grade, size, and quality requirements specified in paragraph (a) of this section, and during the period October 3 through October 31, 1977, shall be not more than "moderately skinned."

(Secs. 1–19, 48 Stat. 31, as amended; 7 U.S.C. 601–674.)

Dated: September 27, 1977, to become effective September 29, 1977.

CHARLES R. BRADER,
Deputy Director, Fruit and Vegetable Division, Agricultural Marketing Service.

[FR Doc.77-28908 Filed 9-28-77;10:02 am]

[3410–02]

[Avocado Regulation 19, Amendment 1]

PART 915—AVOCADOS GROWN IN SOUTH FLORIDA

Maturity Requirements

AGENCY: Agricultural Marketing Service, USDA.

ACTION: Amendment to final rule.

SUMMARY: This amendment revises the maturity requirements for Hickson Marcus and Booth 5 varieties of avocados. These three avocado varieties can be shipped one week earlier, on September 26, than is currently permitted. Currently, these varieties cannot be shipped prior to October 3 at specified minimum weights or diameters. Recently completed maturity studies on these avocados indicate they will be mature at the specified dates, minimum weights, or diameters. The maturity requirements are necessary because weight or diameter and picking dates are indices used at harvest to assure that avocados are mature and will ripen satisfactorily after picking.

EFFECTIVE DATE: September 26, 1977.

FOR FURTHER INFORMATION CONTACT:

Charles R. Brader, 202–447–3545.

SUPPLEMENTARY INFORMATION: *Findings.* (1) Pursuant to the marketing agreement, and Order No. 915, both as amended (7 CFR Part 915), regulating the handling of avocados grown in South Florida, effective under the applicable provisions of the Agricultural Marketing Agreement Act of 1937, as amended (7 U.S.C. 601–674), and upon the basis of the recommendations of the Avocado Administrative Committee, established under the marketing order, and upon other available information, it is found that the maturity requirements for the handling of avocados, as hereinafter provided, will tend to effectuate the declared policy of the act.

(2) It is hereby further found that it is impracticable, unnecessary, and contrary to the public interest to give preliminary notice to engage in public rulemaking procedure, and postpone the effective date of this amendment until 30 days after publication in the FEDERAL REGISTER (5 U.S.C. 553) in that the time intervening between the date when information became available upon which this amendment is based and the time when this amendment must become effective in order to effectuate the declared policy of the act is insufficient; and this amendment relieves restrictions on the handling of the specified varieties of avocados.

Order. (1) The provisions of subparagraph (a) (2) of § 915.319 (Avocado Regulation 19; 42 FR 27210) are amended by revising in Table I the dates, minimum weights or diameters applicable to Hickson, Marcus and Booth 5 varieties so after such revision the portion of Table I relating to such varieties of avocados reads as follows:

(a) (1) * * *

Variety	Date	Minimum weight or diameter	Date	Minimum weight or diameter	Date	Minimum weight or diameter	Date
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)
Hickson	Sept. 26, 1977	12 oz., 3 1/16 in.	Oct. 10, 1977	10 oz., 30/16 in.	Oct. 24, 1977		
Marcus	do	32 oz., 4 12/16 in.	do	24 oz.	Nov. 7, 1977		
Booth 5	do	14 oz., 3 9/16 in.	do	12 oz., 3 9/16 in.	Oct. 24, 1977		

* * * * *

(Secs. 1–19, 48 Stat. 31, as amended; 7 U.S.C. 601–674)

Dated: September 23, 1977, to become effective September 26, 1977.

CHARLES R. BRADER,
Deputy Director, Fruit and Vegetable Division, Agricultural Marketing Service.

[FR Doc.77-28706 Filed 9-28-77;8:45 am]

[3410-07]

CHAPTER XVIII—FARMERS HOME ADMINISTRATION, DEPARTMENT OF AGRICULTURE

SUBCHAPTER D—GUARANTEED LOANS

[FmHA Instruction 449.1]

PART 1845—FmHA EMERGENCY LIVESTOCK LINE OF CREDIT GUARANTEES

Amendment

AGENCY: Farmers Home Administration, USDA.

ACTION: Final rule.

SUMMARY: The Farmers Home Administration amends its regulations to delete those sections incorporated into a new Part 1980 Subpart C and to prescribe to which loans those sections remaining will be effective. Also, administrative changes have been made in loan servicing and liquidation procedures of Part 1845 to make them more consistent with those contained in Part 1980 Subpart C.

EFFECTIVE DATE: September 29, 1977.

FOR FURTHER INFORMATION CONTACT:

Mr. William Krause, 202–447–7600.

SUPPLEMENTARY INFORMATION: Part 1845 of Chapter XVIII, Title 7, Code of Federal Regulations is amended. The provisions of Part 1845 which were incorporated into the new regulation Part 1980 Subpart C, which became effective August 19, 1977, are being deleted from Part 1845 but those provisions required for servicing and liquidation of existing guarantees will remain. It is the policy of this Department that rules relating to public property, loans, grants, benefits, or contracts shall be published for comment notwithstanding the exemption in 5 U.S.C. 553 with respect to such rules. This amendment, however, is not published for proposed rulemaking. Since it is administrative in nature and will only coordinate this regulation with the new Part 1980 Subpart C, publication in proposed rulemaking form is unnecessary.

In Part 1845 of Chapter XVIII the following sections and paragraphs are hereby deleted and reserved:

§ 1845.4 the introductory sentence and paragraphs (a), (a) (1), (a) (2), (b), (b) (1), (b) (2), (b) (3), (b) (4) and (c).
§ 1845.6 and 7.
§ 1845.17, paragraphs (a) and (b).
§§ 1845.18 through 1845.26.
§§ 1845.30 and 1845.31.
§ 1845.38.
§1845.39, paragraphs (b) and (c).
§ 1845.40.

The table of sections, §§ 1845.1, 1845.29(b) and 1845.33(b) are amended and read as follows:

Sec.
1845.1 General.
1845.2 Program objective.
1845.3 Definitions.
1845.4 Lender.
1845.5 Regulations and forms.
1845.6–1845.9 [Reserved]
1845.10 EL eligibility requirements.
1845.11 EL loan purposes.
1845.12 Prohibited EL loan purposes.
1845.13 EL line of credit limitations and special provisions.
1845.14 EL loan rates, terms, and security.
1845.15 Special provisions regarding security.
1845.16 Promissory notes, security instruments, and financing statements.
1845.17 Loan fee and charges.
1845.18–1845.26 [Reserved]
1845.27 Equal opportunity and nondiscrimination.
1845.28 Appeal procedure.
1845.29 Records and reports of lenders.
1845.30–1845.31 [Reserved]
1845.32 Loan servicing.
1845.33 Liquidation of a claim under a Contract of Guarantee.
1845.34 Transfer and assumption of EL loan advances—general.
1845.35 Eligible transferee—full assumption.
1845.36 Ineligible transferee—full assumption.
1845.37 Termination of Contract of Guarantee.
1945.38 [Reserved]
1845.39 Responsibilities of FmHA Officials.
1945.40 [Reserved]
1845.41 County Office file.

AUTHORITIES: Sec. 10, P.L. 93–357, 88 Stat. 392; delegation of authority by the Sec. of Agri., 7 CFR 2.23; delegation of authority by the Asst. Sec. for Rural Development, 7 CFR 2.70.

§ 1845.1 General.

Emergency Livestock (EL) line of credit guarantees issued before August 19, 1977, will be administered, and the guaranteed loans serviced and liquidated, in accordance with this Part 1845.

* * * * *

§ 1845.29 Records and reports of lenders.

* * * * *

(b) *Reports to FmHA.* The lender will be responsible for providing the County Supervisor with a statement certified by an officer of the lender of the unpaid principal balance owed on guaranteed EL loan advances semiannually as of June 30 and December 31. In addition, the lender is responsible for analyzing financial statements obtained periodically from the borrower, taking any servicing actions needed, and providing copies of the statements and record of actions to the County Supervisor.

* * * * *

§ 1845.33 Liquidation of a claim under a Contract of Guarantee.

* * * * *

(b) *Report of Loss.* The lender will complete form FmHA 449–20 except that items VII C, IX, and X B and E are inapplicable and will be left blank. The lender will send the form as completed to the County Supervisor. Final loss payments will be made only after a review has been made to accurately determine FmHA liability. County Supervisors will conduct such reviews and may tentatively approve the Report of Loss when it appears the loss does not exceed $35,000. District Directors will conduct the review and may give their tentative approval when it appears the loss does not exceed $100,000. (In both cases, the Report of Loss will be forwarded to the State Director who, after his review, will give the Report of Loss final approval or return it with his comments to the District Director or County Supervisor for their reconsideration.) State Directors will conduct the review when it appears the loss exceeds $100,000 and may give final approval in all cases. If the State Director wishes National Office assistance in the conduct of the review, he may request it. The State Director will submit to the Finance Office for payment any losses claimed on an approved Form FmHA 449–20. The Finance Office will forward loss payment checks within 10 days of receipt of the claim to the County Supervisor for delivery to the lender.

* * * * *

NOTE.—The Farmers Home Administration has determined that this document does not contain a major proposal requiring preparation of an Economic Impact Statement under Executive Order 11821 and OMB Circular A–107.

Dated: September 20, 1977.

JAMES E. THORNTON,
Associate Administrator, Farmers Home Administration.

[FR Doc.77-28710 Filed 9-28-77;8:45 am]

[7590-01]

Title 10—Energy

CHAPTER I—NUCLEAR REGULATORY COMMISSION

PART 73—PHYSICAL PROTECTION OF PLANTS AND MATERIALS

Requirements for the Physical Protection of Nuclear Power Plants

AGENCY: U.S. Nuclear Regulatory Commission.

ACTION: Effective rule.

SUMMARY: As a result of a number of objections raised with respect primarily to pat-down searches of licensee employees prior to admittance to the protected area of a nuclear power reactor, and the Commission's further consideration of the matter, the Nuclear Regulatory Commission is amending its regulations to delay implementation of the physical search requirement for regular employees of a licensee at nuclear power reactor sites.

EFFECTIVE DATE: September 29, 1977.

FOR FURTHER INFORMATION CONTACT:

Mr. R. J. Jones, Chief, Materials Protection Standards Branch, Office of Standards Development, U.S. Nuclear Regulatory Commission, Washington, D.C. 20555 (301-443-6973).

SUPPLEMENTARY INFORMATION: On February 24, 1977, the Nuclear Regulatory Commission published in the FEDERAL REGISTER (42 FR 10836) effective amendments to its regulations in 10 CFR Part 73, "Physical Protection of Plants and Materials." One requirement included in these amendments was to search individuals for firearms, explosives, and incendiary devices. The regulation specified that the search function would be conducted by a physical search or by use of equipment capable of detecting such devices. The requirements involving procedural measures were scheduled for implementation by May 25, 1977, and those involving use of equipment were scheduled for implementation by August 24, 1978, or earlier if the equipment were installed. Since equipment now available is not capable of detecting all types of explosives and incendiary devices, the search requirement calls for additional measures, such as random physical searches, to provide high assurance of protecting against industrial sabotage.

The Commission is reassessing the implications of physical "pat-down" searches of licensee employees and their value as a part of a total physical system considering their relation to other features of the security systems required by the new amendments. The issue is quite complex and involves ramifications of employee morale and the effectiveness of the search per se and in the context of the total security system. The Commission believes that the question of pat-down searches warrants more deliberate and thorough review, with extensive solicitation of public review and comments, before the utility licensees are required to use such searches for their employees. The Commission, therefore, is amending its regulations to delay the implementation of physical searches of utility licensee employees until August 24, 1978, the date when implementation of all of the requirements of § 73.55 is required, to provide time for reexamination of the impact and value of such searches.

Public comment on the issue has been solicited in connection with a petition for rule making noticed in the FEDERAL REGISTER of September 15, 1977 (42 FR 46431; NRC docket PRM-73-2). The Commission has determined that this action is consistent with the common defense and security and protection of public health and safety. The Commission has further found that, in view of the opportunity for comment already afforded prior to publication of the rules on February 24, 1977, and the fact that the amendment set forth below serves to relieve a restriction, notice and public procedure on the amendment are unnecessary, and that the amendment may be made effective upon publication in the FEDERAL REGISTER.

Pursuant to the Atomic Energy Act of 1954, as amended, the Energy Reorganization Act of 1974, as amended, and sections 552 and 553 of Title 5 of the United States Code, the following amendment to Title 10, Chapter I, Code of Federal Regulations, Part 73 is published as a document subject to codification.

1. Section 73.55 of 10 CFR Part 73 is amended by adding the following sentences to the unnumbered prefatory paragraph:

§ 73.55 **Requirements for physical protection of licensed activities in nuclear power reactors against industrial sabotage.**

* * * Except for individuals for whom the licensee has a well-grounded suspicion that such individuals are carrying firearms, explosives or incendiary devices, a licensee need not implement the physical search requirement of paragraph (d)(1) of this section for individuals who are regular employees of the licensee at the site at which the licensee is authorized to operate a nuclear power reactor pursuant to Part 50 of this Chapter until August 24, 1978, unless the Commission directs otherwise prior to that date. Until that date and pending its further review of this subject, the Commission has determined that the search requirement of paragraph (d)(1) of this section, implemented using only equipment capable of detecting firearms, explosives and incendiary devices, satisfies the performance requirements of this section as they apply to searches of regular employees of the licensee at the site entering the protected area of the nuclear power reactor.

* * * * *

Effective date: September 29, 1977.

(Sec. 161i, Pub. L. 83-703, 68 Stat. 948, Pub. L. 93-377, 88 Stat. 475; sec. 201, Pub. L. 93-438, 88 Stat. 1242-1243, Pub. L. 94-79, 89 Stat. 413 (42 U.S.C. 2201, 5841)).

Dated at Washington, D.C., this 27th day of September 1977.

For the Nuclear Regulatory Commission.

SAMUEL J. CHILK,
Secretary of the Commission.

[FR Doc.77-28901 Filed 9-28-77;9:10 am]

[4910-14]

Title 46—Shipping

CHAPTER I—COAST GUARD, DEPARTMENT OF TRANSPORTATION

[CGD 77-126]

PART 25—REQUIREMENTS

PART 96—VESSEL CONTROL AND MISCELLANEOUS SYSTEMS AND EQUIPMENT

PART 195—VESSEL CONTROL AND MISCELLANEOUS SYSTEMS AND EQUIPMENT

International Regulations for Preventing Collisions at Sea, 1972; Corrections

AGENCY: Coast Guard, DOT.

ACTION: Correction to final rule.

SUMMARY: This document makes corrections to a docket which appeared in the FEDERAL REGISTER of July 11, 1977. The docket contains amendments updating existing references in Coast Guard regulations to the international rules for preventing collisions at sea and amendments interpreting section 3 of the Motor Boat Act of April 25, 1940.

EFFECTIVE DATE: September 29, 1977.

FOR FURTHER INFORMATION CONTACT:

Captain George K. Greiner, Marine Safety Council (G-CMC/81), Room 8117, Department of Transportation, Nassif Building, 400 Seventh Street SW., Washington, D.C. 20590 (202-426-1477).

SUPPLEMENTARY INFORMATION: In FR Doc. 77-19344, appearing at page 35796 in the FEDERAL REGISTER of July 11, 1977, the following corrections are made:

1. On page 35796, third column, the ninth line of the first full paragraph is corrected to read, "1948, as amended. (With respect to navigation lights, the waters subject".

2. On page 35797, the sixth line of § 25.05-1, the sixth line of § 96.20-1, and the sixth line of § 195.20-1 should each be corrected to read "and shapes, whistles, bells,".

Dated: September 22, 1977.

O. W. SILER,
Admiral, U.S. Coast Guard Commandant.

[FR Doc.77-28722 Filed 9-28-77;8:45 am]

[4910-14]

[CGD 75-104]

PART 31—INSPECTION AND CERTIFICATION

Stability Requirements

AGENCY: Coast Guard, DOT.

ACTION: Final rule.

SUMMARY: This rulemaking amends the stability regulations for tank vessels. The amendments require each newly constructed tank vessel of 150 gross tons and over, except a tank barge that operates only on inland waters, and each other tank vessel the stability of which is questioned by the Coast Guard, to meet the stability standards and stability testing and information requirements that currently apply to cargo and miscellaneous vessels in Subchapter I of Title 46. These requirements have been applied to tank vessels by the Coast Guard for several years and, therefore, represent current enforcement practice.

This rulemaking also sets forth conditions under which tank vessels are exempt from the requirement to have a stability test conducted. These conditions have been developed on the basis of a recent Coast Guard review of existing tank vessels and current tank vessel designs. The exemptions apply essentially to tank vessel designs for which a stability test is not currently required and to tank vessels over 300 feet in length that have one longitudinal bulkhead.

EFFECTIVE DATE: These amendments become effective on December 28, 1977.

FOR FURTHER INFORMATION CONTACT:

Captain George K. Greiner, Marine Safety Council (G-CMC/81), Room 8117, Department of Transportation, Nassif Building, 400 Seventh Street SW., Washington, D.C. 20590 (202-426-1477).

SUPPLEMENTARY INFORMATION: A notice of proposed rulemaking was published in the FEDERAL REGISTER on February 7, 1977 (42 FR 7170). Interested persons were invited to submit written comments before March 23, 1977. One comment was received. The commenter concurred with the rules as proposed.

DRAFTING INFORMATION

The principal persons involved in drafting these regulations are: Ralph E. Johnson, Project Manager, Office of Merchant Marine Safety, and William R. Register, Project Attorney, Office of the Chief Counsel.

DISCUSSION OF REGULATIONS

The stability test exemptions, as proposed in the notice of proposed rulemaking, were intended to apply only to current tank vessel designs. On the basis of further review, however, it has been determined that the description of current tank vessel designs contained in the notice of proposed rulemaking is not entirely accurate. Accordingly, the final rules clarify the exemption provisions in order to describe more accurately the designs covered by the exemptions. As clarified in § 31.10-30(c), the exemptions apply to a tank vessel that—

(1) Has a flush freeboard deck, one or more longitudinal bulkheads, and no independent tanks;

(2) Has ordinary proportions and form; and

(3) Is designed not to carry cargo above the freeboard deck. The exemptions, as proposed, did not cover items (2) and (3).

The exemptions, as clarified, also provide that the center of gravity of a vessel assumed for purposes of performing stability calculations must be its center of gravity while in an assumed "lightweight" condition. A definition of "lightweight" has been added to the final rules as § 31.10-30(f)(1). The definition is the same as the definition of "lightweight" in Part 157 of Title 33, Code of Federal Regulations. (Part 157 of Title 33 contains rules for the Protection of the Marine Environment Relating to Tank Vessels Carrying Oil in Bulk.) The purpose of the clarification is to reflect a longstanding practice to have stability tests performed on a vessel only when it is in a lightweight condition.

A definition of "molded depth" has been added to the final rules as § 31.10-30(f)(2). As explained in the notice of proposed rulemaking, the definition is the same as the definition of "molded depth" contained in the load line regulations in Part 42 of Title 46, Code of Federal Regulations.

In consideration of the foregoing, Part 31 of Title 46, Code of Federal Regulations, is amended as follows:

§ 31.10-30 Stability requirements—TB/ALL.

(a) This section applies to—

(1) Each tank vessel of 150 gross tons and over construction of which is started on or after December 28, 1977, except a tank barge that operates only on inland waters; and

(2) Each other tank vessel the stability of which is questioned by the Commandant or Officer in Charge, Marine Inspection.

(b) Each tank vessel must meet the stability requirements for cargo and miscellaneous vessels contained in the following provisions of Part 93 of this chapter:

(1) The requirement in § 93.05-1(a) to conduct a stability test, except as modified in paragraphs (d) and (e) of this section.

(2) The procedural rules in § 93.05-1 (b) and § 93.05-5 for conducting a stability test.

(3) The stability standards in §§ 93.07-5, 93.07-10, and 93.07-15.

(4) The requirement in § 93.10-1 to provide stability information to the master.

(5) The information requirements concerning stability leters in §§ 93.15-1 and 93.15-5, except that the stability letter issued to a tank barge may be kept in any location on the barge that is dry, protected and accessible.

(c) The exemptions in paragraphs (d) and (e) of this section apply only to a tank vessel that—

(1) Has ordinary proportions and form;

(2) Has a flush freeboard deck, one or more longitudinal bulkheads, and no independent tanks; and

(3) Is designed not to carry cargo above its freeboard deck.

(d) A stability test need not be conducted for a tankship of a type described in paragraph (c) of this section if, in performing the stability calculations required by this chapter and 33 CFR Part 157, the assumption is made that the center of gravity of the ship while in a lightweight condition is located a vertical distance of at least 0.7 times the molded depth of the ship from the keel amidships or from a horizontal plane tangent to the keel amidships.

(e) A stability test need not be conducted for a tank barge of a type described in paragraph (c) of this section if, in performing the stability calculations required by this chapter and 33 CFR Part 157, the assumption is made that the center of gravity of the barge while in a lightweight condition is located a vertical distance of at least 0.6 times the molded depth of the tank barge from the keel amidships or from a horizontal plane tangent to the keel amidships.

(f) As used in this section—

(1) "Lightweight" has the same meaning that is provided for the term in 33 CFR § 157.03(h); and

(2) "Molded depth" has the same meaning that is provided for the term in § 42.13-15(e) of this chapter.

(46 U.S.C. 391a; 49 U.S.C. 1655(b); 49 CFR 1.46.)

NOTE—The Coast Guard has determined that this document does not contain a major proposal requiring preparation of an Economic Impact Statement under Executive Order 11821, as amended, and OMB Circular A-107

Dated: September 21, 1977.

O. W. SILER,
Admiral, U.S. Coast Guard
Commandant.

[FR Doc.77-28723 Filed 9-28-77;8:45 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 AGRICULTURE

Commodity Credit Corporation

[7 CFR Part 1487]

CCC NON-COMMERCIAL RISK ASSURANCE PROGRAM

NOTE.—The Commodity Credit Corporation has filed a proposed rule with the Office of the Federal Register relating to the CCC Non-Commercial Risk Assurance Program (GSM–101). The document will be published on Monday, October 3, 1977. Advance copies can be obtained at the Federal Register office, 1100 L Street NW., Washington, D.C., Room 8401.

FOR INFORMATION CONTACT:

L. T. McElvain or Francis A. Woodling, Commercial Export Programs, Office of the General Sales Manager, U.S. Department of Agriculture, 14th Street and Independence Avenue SW., Washington, D.C. 20250, telephone 202–447–3224 or 447–3573.

[6740–02]

FEDERAL POWER COMMISSION

[Docket No. RM77–2]

[18 CFR Part 141]

MONTHLY REPORT OF COST AND QUALITY FOR ELECTRIC PLANT

Proposed Reporting Requirements

AGENCY: Federal Power Commission.

ACTION: Proposed rule.

SUMMARY: The Federal Power Commission proposes to amend the reporting requirements of Form 423, Monthly Report of Cost and Quality of Fuel for Electric Plant, a form now required of electric power producers. The Commission is responding to petitioners who allege that certain information obtained from this form and made available by the Commission, among other things causes injury to the petitioners and their customers in negotiating new contracts. The Commission proposes to continue collecting this information but to limit the distribution of the information once it is collected.

DATES: Comments must be received on or before October 14, 1977.[1]

ADDRESSES: Comments should be submitted to the Secretary, Federal Power Commission, 825 N. Capitol Street, Washington, D.C. 20426.

FOR FURTHER INFORMATION CONTACT:

Alex Gakner, Bureau of Power, 202–275–4677; Charles F. Reusch, Office of General Counsel, 202–275–4328.

Notice is hereby given, pursuant to section 553, Title 5, United States Code and sections 301, 304, 307, 308, 309, and 311 of the Federal Power Act, as amended, (49 Stat. 854, 855–856, 856–857, 858, 858–859, 859; 16 U.S.C. 825, 825c, 825f, 825g, 825h, 825j) that the Commission proposes to amend § 141.61 of Subchapter D, Chapter I, Title 18, Code of Federal Regulations.

Section 141.61 presently requires that each month an electric power producer shall complete a separate Form No. 423 for each of its fossil-fueled electric generating plants having a capacity of 25 megawatts or greater during the reporting month. Form No. 423 requires the origin, cost and quality of fossil fuels and other information for each individual delivery to each plant. Form No. 423 was issued originally in Docket No. R–432 pursuant to Order No. 453, June 7, 1972, 47 FPC 1496, 37 FR 11860, and amended in Docket No. R–432(A) pursuant to Order No. 512, September 12, 1974, 52 FPC 745, 39 FR 34030.

Upon receipt by the Commission, the data are processed in the Bureau of Power and are the basis for the Monthly Report of Cost and Quality of Fuels, a State-by-State, region-by-region and national summary. Copies of the individual forms are placed in the Commission's Office of Public Information for public inspection.

The Commission proposes to continue collecting the information presently required on Form No. 423, but to limit the distribution of the information once it is collected. A sample sheet of the kind of summary the Commission will place in its Office of Public Information is attached as Appendix A below.

PETITION FOR AMENDMENT

On October 15, 1976 twelve utilities[2], presently required to file Form No. 423, petitioned the Commission to amend the reporting requirements on Form No. 423. A copy of the petition is attached as Appendix B. The petitioner utilities allege that the public disclosure of price information is causing injury to them and their customers by providing fuel suppliers with specific price data for use in negotiations on new contracts. They contend that the price at which fossil fuel is purchased by utilities is, with few exceptions, a matter of negotiation between buyer and seller and not a matter of competitive bidding. They assert that by making Form 423 data available to the general public, including fuel suppliers, the Commission places the utilities at a decided disadvantage in negotiations for fuel purchases, resulting in higher fuel costs to utilities and their customers.

The petitioner utilities also allege that the collection and dissemination of specific price information regarding specific transactions create and maintain a dangerous and wholly unnecessary risk of fostering anticompetitive conditions.

DISCUSSION

In the original proceedings which led to establishment of Form 423 reporting as of June 7, 1972, the same allegations as made by the petitioners were made, and were determined by the Commission to be insufficient to outweigh the benefits of public availability of the data collected. A petition for rehearing of the Order establishing the reporting was denied on April 16, 1973, and affirmed by the Court of Appeals November 11, 1974. Nevertheless, the availability of current contract price information to competing suppliers is sometimes considered to be anticompetitive, as alleged by the petitioners. Consequently, the subject has been reviewed again in the light of both the allegations and comments furnished by others in connection with the petition.

It appears to be generally agreed that the availability of current contract price information can have a tendency to put a floor under quotations. Bidders are afraid of "leaving money on the table" and tend to bias their bids to be close to the latest contract, even though their cost analyses may indicate that lower prices would still be profitable. In practice, however, the degree to which the price of utility fuels is actually affected by the available delivered price information is at least questionable. Available data do not show measurable effects and the laws of supply and demand still apply. Thus, a fuel dealer who wants to move his product will reduce his quotations until it does. For example, despite the existence of the FPC fuel price information, the average price of spot coal sold to electric utilities declined from $31.95 a ton in November 1974 to $21.28 a ton in October 1976.

Typically, only about 20 percent of utility fuel is purchased on a "spot" basis. Long-term contracts provide 80 percent of the fuel supply and run from

[1] The date in the original document was September 30, 1977. The Federal Power Commission has extended the date to October 14, 1977, because of a request for extension in the proceeding filed by the Public Interest Research Group on September 19, 1977, and because of a delay in the publication of the original document.

[2] Alabama Power Co., Carolina Power & Light, Consumers Power Co., Duke Power Co., Jersey Central Power & Light Co., Metropolitan Edison Co., New England Power Co., Pennsylvania Electric Co., Rochester Gas & Electric Corp., South Carolina Electric & Gas Co., Utah Power & Light Co., Wisconsin Electric Power Co.

one to twenty-five years. The key price factors in the long-term contracts are the escalation provisions and the escape clauses established by the contracts. These can be far more influential over the life of the contracts than differences in the base prices, but the FPC reporting covers only the price of the fuel as delivered. It says nothing about the escalation provisions of the contract and in many cases merely reflects contracts executed years earlier. Where the deliveries are under new contracts, and the contracts are identifiable as new, the price information does provide a limited indication of the base price the buyer has recently accepted, but still does not reveal the very important contract terms and conditions. The fact that utilities have executed a considerable number of long-term coal supply contracts since the initiation of Form 423 reporting is an indication that delivered price information has not been a significant contracting impediment.

Fuel price information is not required to be reported to the FPC until six weeks after the close of the reporting month. Therefore, the data may be two months or more old by the time they become available to the fuel industry. The "time constant" for the spot market is far shorter than this, with quotations fluctuating significantly in the space of a few days. Generally, fuel quantities moved in the spot market are strongly dependent on the mine or refinery production situation, quantities held in storage by the producer, the transport situation, etc. The producer or broker needs to move the fuel in short order and sells at the best price obtainable. Usually, the quotations and acceptances are made by telephone. Consequently, it is fairly evident that the FPC data cannot have much effect on the spot fuel market.

In long-term fuel contracting, there is sometimes a formal solicitation of quotations, with terms and conditions. This is more usual with publicly owned systems, where there are legal requirements for disclosure of bids and requirements for accepting the bid with the lowest evaluated cost. However, many utility purchasing people believe they can do better through "negotiated" purchases. In practice, this is a competitive procedure, but on an informal basis. A utility buyer will contact several potential fuel sources, indicate his requirements and discuss the ability and interest of the fuel company in meeting the requirements. On the basis of its knowledge of the interested candidate suppliers, their indications of price, their past performance, and other considerations, the utility will select one supplier and begin negotiations with it to establish specific base prices, escalation provisions, cancellation terms, and other elements of the contract. If the utility is not satisfied with the negotiations, it can begin talks with another source, but usually the preliminary discussions will have provided a framework within which a final agreement can be negotiated. Utilities believe that they often will get better contracts through this approach then with formal bidding, because the formal bids require several levels of internal approval within the fuel companies, which tend to make the bids more conservative, and because it is less easy for the fuel companies to modify a written position than a verbal one.

The petition contends that an important competitive factor in the supply of oil to electric utilities is the role of the independent oil jobber, who buys oil from the major oil refiners and then competes with them for electric utility sales. It is implied that knowledge of the price at which a jobber resold oil to an electric utility, even with a delay of two months or more, would act to raise the cost of the jobbers' purchases from the refiners, and the ultimate cost to the electric utilities. In fact, jobbers sell only a very small share of the total oil used by electric utilities, and jobber sales cannot be a major factor in utility fuel costs. The economic service performed by the jobbers for the refiners is unchanged by the availability of utility purchase price data, even though a refiner's marketing staff may tend to bargain harder with a jobber because of fear that publication of a significantly higher final sale price might draw management criticism. When a refiner wants to sell some oil, he contacts several jobbers and takes the best price he can get, without being concerned greatly about the ultimate disposition of the oil. The fact that the jobber may sometimes realize a substantial profit (or loss) does not negate the advantage of the arrangement to the producer, and it is hard to see that the delayed disclosure of the ultimate sales price has any significant effect on jobber costs.

With respect to the alleged negotiating advantage for fuel suppliers of delivered price information, the staff analysis concluded that this effect, while possibly present, is in practice not substantial. The alleged effect operates through the resolve of the participants in the bargaining process. It is contended, in effect, that utilities can negotiate lower prices when neither party knows the pattern of recent sales as compared to both parties being aware of sales data.

The Federal Trade Commission (FTC) and the Justice Department, in letters to the Commission, expressed the view that prompt disclosure for Form No. 423 data does incur some risk of anticompetitive behavior by fuel suppliers. The FTC letter is attached as Appendix C below; the Justice Department letter is attached as Appendix D below. The letters endorse the proposal of the petitioners to hold

the individual delivery price and supplier information confidential while continuing to publish average cost data. However, the FTC recommends that the FPC make the individual delivery data available to Federal and State regulatory agencies. It suggests that the individual delivery data be made publicly available when it is so old as to be useless for anticompetitive purposes.

Comments from twenty state public utilities commissions, the Honorable Milton J. Shapp, Governor of Pennsylvania and the National Association of Regulatory Utility Commissioner (NARUC) indicate that detailed Form No. 423 data are regarded as important to state commissions and that a substantial number of requests for the original data may be anticipated if the proposed rulemaking is adopted.

The Commission also recognizes the concern of wholesale customers and consumer groups that fuel cost information be available to verify fuel cost adjustment charges and to allow comparison of the fuel costs of neighboring utilities for similar fuels. However, it believes that the expanded summary reports of fuel costs, issued monthly and annually by the Commission, provide better information for these purposes than the raw Form No. 423 reports. Average fuel costs by utility and plant are included in the 1976 annual summary report, issued in May 1977, and in the monthly summary report beginning with January 1977. A sample page of the comparative summary is provided in Appendix A below. In view of the availability of these comparative summaries the Commission believes that access to the original Form 423 reports would provide very little additional benefit to the public.

The Commission has the authority to require and enforce the collection of the data now presented on Form No. 423. The data are used by the Commission to administer the Federal Power Act. The data are also used by the Environmental Protection Agency, Federal Energy Administration, Nuclear Regulatory Commission, Commerce Department, other Federal agencies, and several state public utilities commissions. Based on the staff analyses and comments received, the Commission is not able to determine unequivocally whether releasing Form No. 423 data to the public, as it does now, in fact leads to increased costs of fossil fuel for electric utilities, and their customers. However, the position proposed by the Federal Trade Commission and the Justice Department preserves all governmental uses of the data while minimizing the possibility of anticompetitive effects. Consequently, adoption of that position is attractive. The Commission does not want to be in the position of possibly causing increases in fuel costs to electric utilities and their customers.

The proposed additions to § 141.61 of the Commission's rules, Subchapter D, Part 141, Statements and reports (schedules), would be issued under the authority granted to the Federal Power Commission by sections 301, 304, 307, 308, 309, and 311 of the Federal Power Act, as amended (49 Stat. 854, 855–856, 856–857, 858, 858–859; 16 U.S.C. 825, 825c, 825f, 825g, 825h, 825j).

Any interested person may submit data, suggestions, views, and comments in writing concerning all of part of the amendments proposed herein to the Federal Power Commission, Washington, D.C. 20426, not later than September 30, 1977. Written submittals will be placed in the Commission's public files and will be available for public inspection at the Commission's Office of Public Information, 825 North Capitol Street NE., Room 1000, Washington, D.C. 20426 during regular business hours. The Commission will consider all such written submittals before acting on the matters herein proposed. An original and 14 confirmed copies should be filed with the Secretary of the Commission. Submittals to the Commission should indicate the name, title, mailing address, and telephone number of the person to whom communications concerning the proposal should be addressed, and whether the person filing them requests a conference with the Staff of the Federal Power Commission to discuss the proposed rulemaking. The Staff, in its discretion, may grant or deny requests for conference.

Accordingly, the Commission proposes to amend § 141.61, "Form No. 423, Monthly Report of Cost and Quality of Fuel for Electric Plant," Part 141, Chapter I, Title 18 of the Code of Federal Regulations as follows:

§ 141.61 Form No. 423, Monthly Report of Cost and Quality of Fuel for Electric Plant.

* * * Access to the individual Form No. 423 utility reports will be limited for a period of one year to the staff members of this Commission, and to other Federal agencies and state agencies upon written request of the head of the agency, and will not be provided to any other person. Pursuant to the Freedom of Information Act, 5 U.S.C. 552, a summary of information on each form will be made public, reporting the average cost of each type of fuel delivered to a plant instead of the actual price of each delivery and eliminating information with respect to the fuel supplier and the date of contract expiration. Forms furnished to the Commission by utilities will be available for public inspection one calendar year after they are received.

The Secretary shall cause prompt publication of this notice to be made in the FEDERAL REGISTER.

By direction of the Commission.

KENNETH F. PLUMB,
Secretary.

APPENDIX A

Docket No. RM77-2

PLANT FOSSIL FUEL QUANTITY, QUALITY, AND PRICE DATA FOR FEBRUARY 1977

STATE / COMPANY / PLANT	COAL QUANTITY/ 1000_TONS	COAL C/MM BTU_	COAL $/ TON	COAL AV. % SULF.	OIL QUANTITY/ 1000_BBLS	OIL C/MM BTU_	OIL $/ BBL	OIL AV. % SULF.	GAS QUANTITY/ 1000_MCF	GAS C/MM BTU_	GAS $/ MCF	% OF TOTAL BTUS DELIVERED COAL	% OF TOTAL BTUS DELIVERED OIL_	% OF TOTAL BTUS DELIVERED GAS_
____EAST_NORTH_CENTRAL_BEGION___														
ILLINOIS_____														
CENTRAL ILLINOIS PUBLIC SERVICE														
COFFEEN	166.2	87.3	17.29	3.34	0.0	0.0	0.0	0.0	0.0	0.0	0.0	100.0	0.0	0.0
GRAND TOWER	20.5	84.9	18.29	3.38	0.0	0.0	0.0	0.0	0.0	0.0	0.0	100.0	0.0	0.0
HUTSONVILLE	31.6	95.5	21.35	1.97	11.9	285.6	16.09	0.01	0.0	0.0	0.0	91.3	8.7	0.0
PERRYOSIA	15.2	91.4	20.50	2.48	0.0	0.0	0.0	0.0	0.0	0.0	0.0	100.0	0.0	0.0
COMPANY TOTALS	233.5	88.6	18.14	3.10	11.9	285.6	16.09	0.01	0.0	0.0	0.0	98.6	1.4	0.0
CENTRAL ILLINOIS LIGHT														
DUCK CREEK	46.8	149.5	35.50	0.67	0.0	0.0	0.0	0.0	0.0	0.0	0.0	100.0	0.0	0.0
EDWARDS	100.6	108.7	20.21	1.16	0.0	0.0	0.0	0.0	0.0	0.0	0.0	100.0	0.0	0.0
WALLACE	28.4	161.3	41.79	0.66	0.0	0.0	0.0	0.0	16.7	103.5	1.01	97.8	0.0	2.2
STERLING AVE (GT)	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.6	103.5	1.01	0.0	0.0	100.0
COMPANY TOTALS	175.7	131.3	27.76	0.95	0.0	0.0	0.0	0.0	17.3	103.5	1.01	99.5	0.0	0.5
COMMONWEALTH EDISON														
FISK	60.0	121.5	23.26	0.40	9.2	277.5	14.69	0.16	19.0	217.9	2.24	94.4	4.0	1.6
BLOOM (GT)	0.0	0.0	0.0	0.0	55.0	278.0	16.19	0.27	0.0	0.0	0.0	0.0	100.0	0.0
CALUMET (GT)	0.0	0.0	0.0	0.0	75.0	284.2	16.46	0.31	0.0	0.0	0.0	0.0	100.0	0.0
CRAWFORD	0.0	0.0	0.0	0.0	38.0	285.7	16.55	0.31	98.0	188.8	1.94	0.0	68.6	31.4
DIXON	19.0	123.3	25.69	2.55	0.0	0.0	0.0	0.0	1.0	194.0	2.00	99.7	0.0	0.3
ELEC JUNCTION(GT)	0.0	0.0	0.0	0.0	68.0	281.3	16.38	0.31	0.0	0.0	0.0	0.0	100.0	0.0
JOLIET	250.0	104.5	20.00	0.40	40.2	290.8	16.92	0.29	30.0	183.8	1.90	94.8	4.6	0.6
KINCAID	250.0	80.2	15.72	4.21	0.0	0.0	0.0	0.0	0.0	0.0	0.0	100.0	0.0	0.0
LOMBARD (GT)	0.0	0.0	0.0	0.0	8.0	301.1	16.77	0.14	1.0	337.6	3.49	0.0	97.7	2.3
POWERTON	100.0	58.7	12.26	3.63	1.0	267.6	15.67	0.30	26.0	154.5	1.54	98.5	0.3	1.2
RIDGELAND	0.0	0.0	0.0	0.0	32.0	252.0	15.49	0.79	1.0	194.7	2.01	0.0	99.5	0.5
SABROOKE	0.0	0.0	0.0	0.0	50.0	281.8	16.37	0.31	0.0	0.0	0.0	0.0	100.0	0.0
WAUKEGAN	155.1	79.8	15.63	0.76	29.0	318.0	17.29	0.15	0.0	0.0	0.0	95.1	4.9	0.0
WILL COUNTY	26.0	116.7	22.30	0.41	4.0	269.5	15.61	0.18	0.0	0.0	0.0	95.5	4.5	0.0
COMPANY TOTALS	860.1	89.3	17.49	2.00	409.4	282.9	16.39	0.32	176.0	187.0	1.92	86.8	12.2	0.9
ELECTRIC ENERGY														
JOPPA	216.0	100.6	23.61	2.16	1.0	258.3	15.03	0.36	0.0	0.0	0.0	99.9	0.1	0.0
COMPANY TOTALS	216.0	100.6	23.61	2.16	1.0	258.3	15.03	0.36	0.0	0.0	0.0	99.9	0.1	0.0
ILLINOIS POWER														
HAVANA	0.0	0.0	0.0	0.0	96.5	239.1	15.08	0.91	0.0	0.0	0.0	0.0	100.0	0.0
HENNEPIN	1.3	95.5	20.93	3.49	0.0	0.0	0.0	0.0	5.1	103.1	1.07	84.1	0.0	15.9
OGLESBY (GT)	0.0	0.0	0.0	0.0	5.0	282.5	16.38	0.03	0.0	0.0	0.0	0.0	100.0	0.0
STALLINGS (GT)	0.0	0.0	0.0	0.0	6.0	275.1	15.95	0.03	0.0	0.0	0.0	0.0	100.0	0.0
VERMILION	42.2	92.6	19.74	2.69	0.7	278.4	16.14	0.02	0.0	0.0	0.0	99.6	0.4	0.0
WOOD RIVER	72.0	141.0	31.14	0.59	0.0	0.0	0.0	0.0	0.0	0.0	0.0	100.0	0.0	0.0
BALDWIN	193.6	67.7	14.07	3.02	0.0	0.0	0.0	0.0	0.0	0.0	0.0	100.0	0.0	0.0
COMPANY TOTALS	309.0	89.0	18.85	2.41	108.2	243.1	15.19	0.81	5.1	103.1	1.07	90.6	9.4	0.1
IOWA-ILLINOIS GAS & ELECTRIC														
MOLINE	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	57.0	204.3	2.11	0.0	0.0	100.0
COMPANY TOTALS	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	57.0	204.3	2.11	0.0	0.0	100.0
SOUTHERN ILLINOIS POWER COOP														
MARION	16.9	82.2	17.57	3.43	0.0	0.0	0.0	0.0	0.0	0.0	0.0	100.0	0.0	0.0
COMPANY TOTALS	16.9	82.2	17.57	3.43	0.0	0.0	0.0	0.0	0.0	0.0	0.0	100.0	0.0	0.0
SPRINGFIELD WTR LT & PWR DEPT														
DALLMAN	34.1	91.1	19.39	3.32	0.0	0.0	0.0	0.0	0.0	0.0	0.0	100.0	0.0	0.0
LAKESIDE	18.5	99.2	21.28	2.97	0.0	0.0	0.0	0.0	0.0	0.0	0.0	100.0	0.0	0.0
COMPANY TOTALS	52.6	93.9	20.05	3.20	0.0	0.0	0.0	0.0	0.0	0.0	0.0	100.0	0.0	0.0
UNION ELECTRIC														
VENICE #2	12.0	128.8	32.95	1.08	79.0	281.9	16.34	0.30	0.0	0.0	0.0	40.1	59.9	0.0
COMPANY TOTALS	12.0	128.8	32.95	1.08	79.0	281.9	16.34	0.30	0.0	0.0	0.0	40.1	59.9	0.0
UNIVERSITY OF ILLINOIS														
ABBOTT	0.0	0.0	0.0	0.0	42.1	257.3	15.08	0.27	0.0	0.0	0.0	0.0	100.0	0.0
COMPANY TOTALS	0.0	0.0	0.0	0.0	42.1	257.3	15.08	0.27	0.0	0.0	0.0	0.0	100.0	0.0
W ILLINOIS PWR COOP														
PEARL (STS)	7.7	85.8	19.22	3.20	3.1	278.5	16.14	0.70	0.0	0.0	0.0	90.5	9.5	0.0
COMPANY TOTALS	7.7	85.8	19.22	3.20	3.1	278.5	16.14	0.70	0.0	0.0	0.0	90.5	9.5	0.0
WINNETKA, VILLAGE OF														
WINNETKA	0.8	240.0	48.48	0.69	0.0	0.0	0.0	0.0	0.0	0.0	0.0	100.0	0.0	0.0
COMPANY TOTALS	0.8	240.0	48.48	0.69	0.0	0.0	0.0	0.0	0.0	0.0	0.0	100.0	0.0	0.0
INDIANA_____														
COMMONWEALTH EDISON-INDIANA														
STATE LINE	180.0	123.2	23.19	0.47	0.0	0.0	0.0	0.0	7.0	148.5	1.52	99.8	0.0	0.2
COMPANY TOTALS	180.0	123.2	23.19	0.47	0.0	0.0	0.0	0.0	7.0	148.5	1.52	99.8	0.0	0.2
CRAWFORDSVILLE ELEC LT & PWR														
CRAWFORDSVILLE	5.0	99.0	21.25	2.74	0.0	0.0	0.0	0.0	0.0	0.0	0.0	100.0	0.0	0.0
COMPANY TOTALS	5.0	99.0	21.25	2.74	0.0	0.0	0.0	0.0	0.0	0.0	0.0	100.0	0.0	0.0
FRANKFORT LT & PWR DEPT														
FRANKFORT	6.4	108.0	24.28	3.83	0.0	0.0	0.0	0.0	0.0	0.0	0.0	100.0	0.0	0.0
COMPANY TOTALS	6.4	108.0	24.28	3.83	0.0	0.0	0.0	0.0	0.0	0.0	0.0	100.0	0.0	0.0
HOOSIER ENERGY DIV-INDIANA REC														
FRANK E RATTS	62.7	53.6	11.22	3.02	0.0	0.0	0.0	0.0	0.0	0.0	0.0	100.0	0.0	0.0
COMPANY TOTALS	62.7	53.6	11.22	3.02	0.0	0.0	0.0	0.0	0.0	0.0	0.0	100.0	0.0	0.0

APPENDIX B

UNITED STATES OF AMERICA BEFORE THE FEDERAL POWER COMMISSION

[Docket No. RM77-2]

PETITION FOR AMENDMENT OF 18 CFR PART 141

PETITION OF CERTAIN ELECTRIC UTILITIES FOR AMENDMENT OF COMMISSION'S REGULATIONS WITH RESPECT TO FORM NO. 423

Pursuant to the Administrative Procedure Act, 5 U.S.C. 553(e), and § 1.7(b) of the Commission's rule of practice and procedure, the undersigned utilities[1] (hereinafter "Petitioners") respectfully petition the Commission to issue an order amending section 141.61 of its Regulations under the Federal Power Act by modifying the requirements respecting information to be reported on Form 423 or in the alternative by limiting the distribution of the Form to the government agencies and making public in summary form the information reported on the Form.

AMENDMENT REQUESTED

Petitioners respectfully ask that the information required to be reported on Form No. 423 be modified by (1) requiring that the average cost of fossil fuels delivered to a plant be reported instead of the actual price of each delivery and (2) eliminating the reporting of information with respect to the identity of the fuel supplier and the date of contract expiration.

In the alternative it is requested that the distribution of Form 423 be limited by the addition of the following provision to § 141.61:

Information furnished on these forms will be treated as confidential. These forms will be made available only to the staff members of this Commission and to other federal agencies upon written request of the head of the agency and will not be made available to any other person. Pursuant to the Freedom of Information Act, 5 U.S.C. 552, a summary of information on each form will be made public, reporting the average cost of fuel delivered to a plant instead of the actual price of each delivery and eliminating information with respect to the fuel supplier and the date of contract expiration.

PRIOR HISTORY

Section 141.61 of the Commission's Regulations, which was adopted by Order No. 453 on June 7, 1972, instituted Form 423 for the reporting by electric utilities of monthly data with respect to coal, oil and gas deliveries for boiler use in generating plants. The information required to be reported on Form includes the price, quantity, quality, coal region, and oil supplier for each delivery made at each generating plant during the month ending 45 days prior to the date of the filing.

On January 16, 1973, Petitioners filed with the Commission the "Petition of Certain Electric Utilities for Amendment of Commission's regulations with Respect to Form No. 423" requesting that the information required to be reported on Form No. 423 be modified or that the distribution of Form 423 be limited. In an order dated March 2, 1973, the Commission denied the requested relief. By application filed April 2, 1973, the petitioners applied for rehearing of the March 2, 1973, Order, and by Order issued April 16, 1973, the Commission denied rehearing. The petitioners thereupon appealed to the United States Court of Appeals for the District of Columbia Circuit by filing their petition for review of the Commission's Orders issued March 2, 1973, and April 16, 1973. On November 11, 1974, the Court of Appeals affirmed the Commission's dismissal of the petition. *Alabama Power Co.* v. *FPC*, 511 F. 2d 383.

The Court's opinion, written by Judge Leventhal, pointed out (p. 393) that the Commission retains continuing oversight and, subject to reasonable rules to limit administrative burden, a responsibility to consider a new petition for amendment of regulation 141.61. The Court pointed out that "The Commission retains an obligation to give reasoned consideration to the bearing an obligation to give reasoned consideration to the bearing of antitrust policy on matters within its jurisdiction."

By Order No. 512 issued September 12, 1974, in Docket No. R-423(A) the Commission adopted Revised Form 423 to include monthly purchase reports for fuels which are to be used in gas turbine and internal combustion engine generation of power by electric utilities.

AUTHORITY OF COMMISSION TO AMEND THE REGULATION IN THIS FASHION

It is clear that the Commission has the authority to amend Form 423, as requested above, to modify the information required to be reported on that Form. This authority is granted by section 304(a) of the Federal Power Act; which authorizes the Commission to amend its regulations and to prescribe the manner and form in which reports shall be made, and section 309, which authorizes the Commission to amend its regulations and to prescribe the form of all reports to be filed and the information they shall contain.

The Commission also has the authority to adopt the alternative request of this Petition: confidential treatment of Form 423. Such authority is vested in the Commission by section 309 of the Federal Power Act and by the Freedom of Information Act, as amended, 5 U.S.C. 552(b)(4).[2]

The exemption in the Freedom of Information Act for trade secrets and commercial or financial information was included in the Act to protect the competitive position and the privacy of citizens who submit such information to the Government. See *Bristol-Myers Co.* v. *FTC*, 424 F. 2d 935 (C.A.D.C., 1970), cert. den. 400 U.S. 823 (1970).

This exemption first appeared in the bill S.1666, and the Senate Committee on the Judiciary explained the exemption as follows:

This exception is necessary to protect the confidentiality of information which is obtained by the Government through questionnaires or other inquiries, but *which would customarily not be released to the public by the person from whom it was obtained* (Emphasis added). (S. Rept. 1219, 88th Congress 2d session, p. 13).

The exemption was reintroduced in the 89th Congress as part of S. 1160. The House Report on this bill generally reiterated the above Senate Report and reaffirmed the function of exemption (4):

The exemption would assure the confidentiality of information obtained by the Government through material submitted and disclosures made in procedures such as the mediation of labor-management controversies. It exempts such material if it would not customarily be made public by the person from whom it was obtained by the Government. (H. Rept. 1497, 89th Congress, 2d session, p. 10).

In light of the statements in both committee reports, it is clearly the thrust of 5 U.S.C. 552(b)(4) to exempt material which would customarily net be released to the public by the person from whom the Government obtained it. The material required by Form 423 would not be publicly released by electric utilities or their fossil fuel suppliers.

REASONS FOR AMENDMENT SOUGHT BY PETITIONERS

A. *The public disclosure requirement of Order No. 453 is causing injury to utilities and their customers by providing their fuel suppliers with specific price data for use in negotiations on new contracts and this public disclosure requirement is contrary to the Freedom of Information Act, 5 U.S.C. 552(b)(4).* The information required to be reported on Form 423 includes the price, quantity, quality, coal region, oil supplier, and gas supplier for each delivery made at each generating plant during the month ending 45 days prior to the date of filing.

The price at which a supply of fossil fuel is purchased by utilities has, with few exceptions, been a matter of negotiation between the buyer and seller and not a matter of competitive bidding. By making these monthly price reports available for inspection and copying by fuel suppliers, the Commission has placed the reporting utilities at a decided disadvantage in negotiations for available fuel supplies.

Electric utilities buy oil, as they do coal, on two bases—spot and contract, with the bulk of purchases being made on the latter basis. Usually the term is for five years or less, with many contracts on a year-to-year basis. The key provision of any contract is, of course, price, and the determination of the prices in any individual contract is largely a matter of the bargaining position of the parties, together with their assessment of likely future developments. Although the supplier tends to have an advantage on the latter score, since his knowledge of the coal or oil industry circumstances is greater than that of the utility, prior to the adoption of Order No. 453 both the buyer and the seller negotiated from relatively equal strengths. Neither was aware of the exact price for all other transactions in which the other was delivering or receiving various kinds and quantities of coal or oil. That bargaining position has changed. The seller now has available specific price data on all of the buyer's purchases.

Thus, an extremently valuable piece of bargaining information is now in the hands of the seller, viz, evidence of the price which the buyer has recently been willing or required to pay. This information is especially advantageous to the supplier, who, as a member of the industry, has a good idea of the supply position of his competitors. The purchasing utility is doubly disadvantaged because it not only does not know what costs are incurred by its suppliers, but it also does not know what prices are being offered by non-utility fuel purchasers.

Non-utility fuel purchasers who compete in the purchasing of fossil fuels, especially high quality, low-sulfur fuels, now have access to current and specific price information on Form 423 with respect to prices being paid by utilities for those same supplies. Utilities, however, have no access to infor-

[1] Alabama Power Co., Carolina Power & Light, Consumers Power Co., Duke Power Co., Jersey Central Power & Light Co., Metropolitan Edison Co., New England Power Co., Pennsylvania Electric Co., Rochester Gas & Electric Corp., South Carolina Electric & Gas Co., Utah Power & Light Co., Wisconsin Electric Power Co.

[2] That section, in part, provides: * * * This section does not apply to matters that are * * * (4) trade secrets and commercial or financial information obtained from a person and privileged or confidential.

mation on prices paid by companies which are not utilities.

Because of the nature of the oil distribution business, there is another piece of valuable bargaining information which Order No. 453 has placed in the hands of the major oil suppliers. Suppliers in the oil industry are made up principally of major oil companies, which do their own refining, and independent oil jobbers, which typically obtain their supplies from major oil companies. The two compete for sales to electric utilities, among others. As a result of Order No. 453, the price at which an oil jobber, who originally purchased oil from a major oil supplier, has resold it to a utility can now be learned by that supplier.

If the Commission believed that it was in the public interest for the oil and coal suppliers to be in possession the specific and current price information provided on Form 423, it is not evident from the text of Order No. 453. If the Commission made any independent effort to determine the effect which the public availability of this price information might have on utility fuel purchases, it is also not evident from the text of Order No. 453.

That the confidentiality of the detailed information required by Order No. 453 should be protected is demonstrated by the holding of the United States Court of Appeals in *Continental Oil Co. v. F.P.C.*, 519 F. 2d 31 (5th Cir., 1975), cert. denied sub. nom. *Superior Oil v. F.P.C.*, ____ U.S., ____ 96 S. Ct. 2168, 48 L. Ed. 2d 794 (May 18, 1976). That case involved Order No. 521, which required disclosure of detailed intrastate natural gas sales information, including the names of purchasers, date and location of the sale, pressure base, annual sales volume, and price terms. After holding that the F.P.C. could require that the information be disclosed to the Commission, the Court vacated that portion of the order which would make public all the details of the information. The Court said (footnotes omitted):

* * * the petitioners maintain that the information should not be made public. The thrust of their argument is that this information comes within the "trade secrets" exception to the Freedom of Information Act, (FOIA) which provides: "(b) This section does not apply to matters that are * * * (4) trade secrets and commercial or financial information obtained from a person and privileged or confidential * * *

National Parks and Conservation Association v. *Morton*, 162 U.S. App. D.C. 23, 498 F. 2d 765 (1974) aids in interpreting this section. "In order to bring a matter (other than a trade secret) within this exemption, it must be shown that the information is (a) commercial or financial, (b) obtained from a person, and (c) privileged or confidential". 498 F. 2d at 766. For the purposes of the FOIA, a corporation comes within the definition of person, and since the information is commercial or financial, the dispute comes down to whether the information is confidential. "[C]ommercial or financial matter is 'confidential' for purposes of the exemption if disclosure of the information is likely to have either of the following effects: (1) to impair the Government's ability to obtain necessary information in the future; or (2) to cause substantial harm to the competitive position of the person from whom the information was obtained". *National Parks and Conservation Association* v. *Morton*, 498 F. 2d at 770.

This is not to say, however, that the information gathered must be kept from the public altogether. Only confidential information is protected. To the extent that confidentiality can be secured by composite disclosure and by deletion of the filing party's name and other identifying characteristics, petitioners do not dispute its release. See *National Cable Television Ass'n, Inc.* v. *FCC*, 156 U.S. App. D.C. 91, 479 F. 2d 183, 195 (1973). The only requirement in today's case is that the rights of those required to divulge be protected. In *Evans* v. *Dept. of Transportation*, 446 F. 2d 821 (5th Cir. 1971), we explained the necessity of balancing public and private interest in interpreting the FOIA. Assurance as to accuracy in the determination of volume and pricing of intrastate sales, not the identity of the parties to each such transaction, is the critical public factor. An impersonal disclosure of the data filed will protect both interests. We leave to FPC discretion the details of implementing public disclosure which will accord with these views.

We affirm the portion of Order No. 521 which requires jurisdictional companies to disclose fully their intrastate natural gas transactions to the FPC. We vacate that portion of the order which would make public all details of such information furnished by petitioners.[2]

The right of the Petitioners to protect the confidentiality of the detailed information reported on Form No. 423 is sustained also by the decision of the United States Courts of Appeals for the Ninth Circuit in *Union Oil Co. of California* v. *FPC*, Nos. 75–2891 et al., decided June 2, 1976, CCH Utilities Law Reporter, Federal ¶ 11,822, application for rehearing pending. That case involved Orders 526 and 526-A of the Federal Trade Commission which required natural gas companies to make reports on Form 40 regarding proved reserves of natural gas. The Orders indicated that certain data would be placed on public files, while other data would be kept confidential unless the Commission ordered otherwise. The court noted that "In substance, this rule recognizes no legal restraint on the Commission's authority to disclose all data submitted on Form 40." The Court set aside the orders adopting Form 40, holding that the Freedom of Information Act exemptions mandate that the data submitted on Form 40 be kept confidential, and that the Commission's rule making such information a matter of public record, or confidential subject to the will of the Commission, was arbitrary and capricious. The Court said (slip opinion p. 16; CCH at p. 13,936):

"The Commission's justification for publicly revealing the submitted data is that the public has the right to know the information upon which agency regulations and rates are based. Certainly, there is a public interest in such disclosure. Here, however, the Commission has adopted a rule for the potentially damaging disclosure of information which fails to consider the degree of harm such disclosure would cause to the reporting companies, whether or not the data revealed in fact played any part in an agency decision, or whether or not the data could satisfy the public's need to know if presented in an alternative form which avoided any harm to the industry. We are not told why aggregate data which do not identify individual producers or specific reserve information of individual producers could not satisfy the public's need. In short, the Commission makes data available to the public without any regard for the harm that this would cause or the need that would be served. Such a rule is without any rational basis and must be found to be arbitrary and capricious.

In the event that information disclosed with potentially damaging specificity would advance the public interest, the Commission should take appropriate precautions to determine (1) whether the information is such that it is entitled to absolute protection under section 552, and (2) if not, whether the balance of interests in the specific case are such as to justify disclosure. Any broad rule of disclosure of trade secrets such as that embodied in Orders 526 and 526–A which fails to consider such matters is arbitrary and capricious".

The Commission has recognized the force of the considerations favoring protection of confidential information by permitting publication of data in a composite or aggregate form or by deleting the filing party's name and other identifying characteristics. In Order No. 543–A issued April 19, 1976 in Docket No. RM75–24, the Commission considered petitions for rehearing and reconsideration of Order No. 543, which required reports on Form No. 64 from gas producers regarding expenditures, exploration and development activities, reserve additions, production and revenue. Noting the objections which had been made to the disclosure of confidential information, the Commission modified its prior order with the following explanation:

We recognize our obligation to comply with the legislative intent of the Freedom of Information Act which "places emphasis on the fullest disclosure". S. Rep. No. 813, 89th Congress, 1st Session 3 (1965). However, upon further consideration, we find that there is some merit in petitioners' argument that the information contained in Form 64 be given protection from full disclosure (citing "Continental Oil Corporation v. F.P.C.", 519 F. 2d 31 (5th Cir., 1975)). While we are not in complete agreement with the holding in "Continental," it is clear that it does permit publication of data in a composite or aggregate form or by deleting the filing party's name and any other identifying characteristics. The court noted that an impersonal disclosure of the data as described above would protect both public and private interests. Therefore, we shall utilize this data in composite or aggregate form where appropriate. We shall also make Form No. 64 information public but shall delete the name of each independent producer from the heading. If there is a need for the identification of any individual independent producer or group of independent producers, we shall

[2] In *Pennzoil Co.* v. *FPC*, 534 F. 2d 627 (July 2, 1976), the United States Court of Appeals for the Fifth Circuit again reviewed an FPC order which required public disclosure of confidential information. The order required natural gas producers to provide detailed information regarding reserves and concluded "all responses to this order will be a matter of public record." The Court held that the Commission had abused its discretion in ordering that responses should be part of the public record when the Commission had not fully considered the relevant factors, namely, whether disclosure of this type of detailed information will significantly aid the Commission in fulfilling its functions; not only the harm done to the producers by releasing the information but the harm to the public generally; and "finally and most importantly" whether there are alternatives to full disclosure.

consider that question when it arises in the context of a specific case.[4]

Clearly the Commission's conclusion, after weighing the alternatives, should be to revise Form No. 423 to require less detailed information regarding individual transactions and individual suppliers. Alternatively the Commission should conclude that only the less detailed information should be made public. The alternative could provide that complete details from the form as filed should be available to the staff and members of the Commission, and to any other federal agency upon written request of the agency head. Authoritative decisions of the courts, and the Commission's own decision, quoted above, in Order No. 543–A issued April 19, 1976, in Docket No. RM75–24, show that the Commission should revise Form No. 423.

B. *The Collection and Dissemination of Specific Price Information Regarding Specific Transactions Creates and Maintains a Dangerous and Wholly Unnecesary Risk of Fostering Anti-Competitive Conditions.*

The exchange of price information can have an anti-competitive effect, chilling the vigor of price competition. In "United States *v.* Container Corp. of America," 393 U.S. 333 (1968), the Court reversed a District Court order dismissing the complaint in a civil anti-trust action. The case involved the exchange of price information among companies in the business of supplying corrugated containers. Mr. Justice Douglas said, for the Court:

Here all that was present was a request by each defendant of its competitor for information as to the most recent price charged or quoted, whenever it needed such information and whenever it was not available from another source. Each defendant on receiving that request usually furnished the data with the exception that it would be furnished reciprocal information when it wanted it.

* * * * *

* * * the essence of the agreement was to furnish price information whenever requested.

* * * * *

The result of this reciprocal exchange of price was to stabilize prices though at a downward level. Knowledge of a competitor's price usually meant matching that price.

Price is too critical, too sensitive a control to allow it to be used even in an informal manner to restrain competition. (pp. 335–338; footnotes omitted)

As the Court said in "American Column & Lumber Co. v. U.S.," 257 U.S. 377 (1921), in affirming a decree under the Sherman Act (p. 410):

Genuine competitors do not make daily, weekly, and monthly reports of the minutest details of their business to their rivals, as the defendants did;

See also "U.S. v. American Linseed Oil Co.", 262 U.S. 371 (1922).

Clearly the practice of collecting specific information regarding the details, including price, of every sale of fossil fuel to the utilities and the publishing of that information to the sellers who are alleged to be in competition with one another, is an unsatisfactory practice which should cause grave concern to the Commission.

While the information is made available to all participants in the market, and not merely to the firms of one side, of the market as was the situation in some of the leading cases, e.g. "Container," this circumstance does not afford any degree of protection to the buyers. The knowledge which is made available to them does not enable them to offset, neutralize or destroy the obvious anti-competitive tendency on the part of the sellers noted by Mr. Justice Douglas in "Container": "Knowledge of a competitor's price usually meant matching that price". Further, the sellers have other knowledge regarding the rest of the market, i.e. the non-utility purchasers, which is not available to the utilities.

It does not meet the problem for the Commission to call for evidence of specific harm. Although a fuel purchaser may have a strong and clear impression that a supplier would offer a better price if it were not to be publicized, it is not likely that any supplier will write a letter or tender other specific evidence stating that it would have cut a price, or at least tempered a price increase, if it had not been reassured by price data collected on Form No. 423.

The Commission is charged with considering the policies of the antitrust laws when it exercises authority under the Federal Power Act. In "F.P.C. v. Conway Corp.," -- U.S. --, 48 L. Ed 626 (decided June 7, 1976) the United States Supreme Court said (p. 633–4):

The exercise by the Commission of powers otherwise within its jurisdiction "clearly carries with it the responsibility to consider, in appropriate circumstances, the anti-competitive effects of regulated aspects of interstate utility operations pursuant * * * to directives contained in section 205, section 206 * * *" "Gulf States Utilities Co. v. F.P.C.," 411 U.S. 744, 758–759 (1973)

See also "Northern Natural Gas Co. v. F.P.C.," 399 F.2d 953, 958 (D.C.C.A., 1968).

The policy of the antitrust laws is that anti-competitive practices are to be prevented in their incipiency before such practice result in damage to the free market. In "Gulf States Utilities Co. v. F.P.C.," *supra*, the Supreme Court said (p. 760):

Consideration of antitrust and anti-competitive issued by the Commission, moreover, serves the important function of establishing a first line of defense against those competitive practices that might later be the subject of anti-trust proceedings. (emphasis supplied)

Clearly it is no fair measure of the responsibility of the Commission to describe it merely in terms of willingness to consider specific claims of specific injury. On the contrary, it is the responsibility of the Commission to be conscious of the possible injury to hard bargaining in the fuel markets and to devise a reporting system which does not set the stage for anti-competitive behaviour by suppliers. The risk of anti-competitive behaviour should not be imposed on the utilities by the Commission.[5] Under extraordinary circumstances, when some important objective could be achieved only by subjecting the utilities and their customers to the risk of a tacit agreement regarding prices or to the risk of parallel pricing policies, the Commission might carefully weigh and articulate the considerations involved and explicitly justify the imposition of the risk. This is not the situation. Here there is no reason whatever why the objectives of Order No. 423 cannot be completely served with the changes requested herein to eliminate the anti-competitive weapon placed in the hands of the fuel suppliers.

The Commission should assume, of course, that the fuel suppliers are or should be independent competitors who should compete with one another.

Wherefore, for the foregoing reasons Petitioners respectfully request the Commission, after public notice and opportunity for comment, to revise the Form 423 requirements in accordance with the rule proposed in this Petition.

Respectfully submitted,

DEBEVOISE & LIBERMAN

FREDERICK T. SEARLS,
HOWARD C. ANDERSON,
700 Shoreham Building 806 15th Street NW., Washington, D.C. 20005 (202–393–2080).

On behalf of: Alabama Power Co., Carolina Power & Light, Consumers Power Co., Duke Power Co., Jersey Central Power & Light Co., Metropolitan Edison Co., New England Power Co., Pennsylvania Electric Co., Rochester Gas & Electric Corp., South Carolina Electric & Gas Co., Utah Power & Light Co., and Wisconsin Electric Power Co.

VERIFICATION

United States of America, District of Columbia, ss:

Howard C. Anderson, being duly sworn, says that he is Attorney for the electric utilities, making the foregoing petition; that he has read the petition and knows the contents thereof; and that the allegations

[4] The Commission has acted recently to terminate rulemaking proceedings which would have imposed new reporting requirements regarding fuel. See "Order Terminating Proposed Rulemaking Proceeding", issued April 29, 1976, in Docket RM74–1, "Report of Cost and Quality of Fuels for Nuclear Plants" and "Order Terminating Proposed Rulemaking Proceeding", also issued April 29, 1976, in Docket RM74–2, "Monthly Report of Fuel Storage Capacity and Fuel Stored". In RM74–1, objections filed included objections to the anti-competitive effect of the proposal. It is reasonable to assume that the Commission is taking a critical look at the multiplicity of reporting requirements, all of which impose burdens on its own staff and on the reporting utilities, and some of which may be of extremely marginal value if any, while delay in disposing of the Commission's backlog seriously jeopardizes the public interest. As the Chairman said in testimony before the Senate Committee on Government Operations on May 27, 1976, " * * * we are on a treadmill and rapidly going backwards * * * the system is in serious danger of breaking down."

[5] The risk of anti-competitive conduct is the evil to be guarded against, since the mere dissemination of price information is, of course, not a per se violation of the Sherman Act. Obviously a conspiracy to fix prices may follow from dissemination of price information. In "U.S. v. Citizens National Bank", 422 U.S. 86 (1975) the Court accepted a District Court finding that dissemination of interest rates and service charges did not result in a tacit agreement to fix prices, but only because the banks involved were not independent competitors but participants in a "de facto branching program" which was "plainly . . . pro-competitive" (p. 119). The Court said (pp. 113–114):

"Were we dealing with independent competitors having no permissible reason for intimate and continuous cooperation and consultation as to almost every facet of doing business, the evidence adduced here might well preclude a finding that the parties were not engaged in a conspiracy to affect prices. But, as indicated below, the correspondent associate program, as such, was permissible under the Sherman Act. In this unusual light, we cannot hold clearly erroneous the District Court's finding that the lack of significant price competition did not flow from a tacit agreement but instead was an indirect, unintentional, and formally discouraged result of the sharing of expertise and information which was at the heart of the correspondent associate program."

therein are true and correct to the best of his knowledge, information and belief.

HOWARD C. ANDERSON.

Subscribed and sworn to before me this 15th day of October, 1976.

My Commission Expires Feb. 14, 1981.

DEBORAH A. MILHE,
Notary Public.

APPENDIX C

FEDERAL TRADE COMMISSION

MAY 27, 1977.

Hon. RICHARD L. DUNHAM,
Chairman, Federal Power Commission, 825 North Capitol Street NE., Washington, D.C.

DEAR CHAIRMAN DUNHAM: On October 15, 1976, certain electric utilities filed with the Federal Power Commission ("FPC") a petition seeking the amendment of the FPC's regulations with respect to FPC Form 423, which at present requires utilities on a monthly basis to submit detailed information on the cost and quality of fuel received. The petition, which has been assigned FPC Docket No. RM77-2, requests that Form 423 be modified to call for the average cost of fuel rather than the actual cost of each delivery and to eliminate the requirement of reporting the identity of each fuel supplier and the expiration date of each contract. Alternatively, the petition requests that the submitted information be treated as confidential (to be disclosed only to FPC staff and to other federal agencies) and that only a summary of each form (to consist of average cost information without identification of each fuel supplier or cntract expiration date) be made available to the public.

One of the petitioners' arguments in support of their request is that the collection and dissemination of specific price information regarding specific transactions creates and maintains a dangerous and wholly unnecessary risk of fostering anticompetitive conditions. Mr. Jerome C. Muys of Debevois & Liberman, the law firm representing the petitioners before the FPC, brought this matter to the attention of the Commission and pointed out that in earlier litigation over Form 423, where similar arguments were raised, the court stated as follows:

"Other agencies, having primary concern with enforcement of the antitrust statutes, are presumably able to assist the [FPC] by giving advice on disputed issues of antitrust policy and by identifying the factual questions relevant to an assessment of a proposed action." *Alabama Power Co.* v. *F.P.C.*, 511 F. 2d 383, 393 (D.C. Cir. 1974).

The Commission is pleased to offer the following comments on the antitrust argument made by the petitioners and other antitrust and consumer protection issues raised by the petition.

I. THE DETAILED DATA PRESENTLY COLLECTED ON FORM 423 ASSISTS GOVERNMENTAL ENTITIES CONCERNED ABOUT COMPETITIVE AND OTHER ABUSES IN THE FUEL PROCUREMENT AREA

In addition to providing the FPC with information for use in connection with its own statutory responsibilities, Form 423 is a useful source of data for other governmental entities, including both the Commission and other agencies concerned with maintaining competition and protecting consumers. For example, the Commission's staff is using Form 423 data in analyzing vertical integration by electric utilities into coal production. The Commission understands that this analysis, which is being incorporated into a staff report to the Commission, would not have been possible if Form 423 contained only average cost data and did not identify each supplier.

In addition, for a variety of reasons including the nature of rate-of-return regulation and the use of automatic fuel adjustment clauses, there is at present considerable concern that electric utilities do not have adequate market incentives to seek to minimize the cost of fuel. The Commission understands that state regulatory commissions are increasing their surveillance of utilities' fuel procurement practices and that they are using Form 423 data in doing so. This encouraging trend would receive a severe setback if the FPC did not collect detailed cost and quality information and make it available to other governmental entities.

II. PUBLIC DISCLOSURE OF THE DETAILED INFORMATION PRESENTLY COLLECTED ON FORM 423 CREATES A RISK OF ANTICOMPETITIVE BEHAVIOR

The basis for antitrust concern over the public reporting of detailed price information is the usefulness of such information in a price fixing scheme. If competitors have a means to learn promptly of any price cutting, they can quickly match or exceed the initial price cut, and the firm initiating the price cut would have the benefit of increased sales for only a short period of time. Prompt public disclosure of price information can therefore reduce the incentive of a firm to cut prices.

The extent to which a fuel supplier has an incentive to reduce its price when seeking a particular contract depends upon the profit potential of that contract in relation to the supplier's overall marketing situation. Thus, if a supplier could by reducing its price sell all of its supply of fuel, the public availability of Form 423 data would not reduce its incentive to do so. On the other hand, if a supplier must enter into a number of contracts to sell all or a significant amount of its fuel, price cutting might occur only if the supplier could enter into several contracts without detection. In this latter situation, the prompt disclosure of Form 423 data could deter price competition.

To assess the likely consequences of publishing Form 423 data on any given supplier, the FPC would have to analyze (1) the number of firms competing with the supplier, and (2) the duration and size (in relation to total output) of the suppliers' likely future contracts. The number of competitors is relevant to the likelihood that a price fixing agreement could be established and maintained. The duration and size of the contracts would determine how the publication of Form 423 data would affect the supplier's decision to undercut its competitors' price.[1]

A supplier-by-supplier analysis by the FPC would presumably identify instances where Form 423 data could be disclosed without creating an unreasonable risk that the data would be used to fix prices. It seems equally clear, however, that such an analysis would identify situations where the prompt publication of Form 423 data could promote price-fixing.

[1] In assessing the duration of fuel supply contracts it would be important to note that "evergreen" contracts containing price renegotiation provisions may not be as long as their stated term. Some such contracts may provide the utility with a means of getting out of the contract by not agreeing to a renegotiated price. The only fuel that is truly "committed" under such a contract may be the fuel to be delivered prior to the date when renegotiation is permitted.

III. RECOMMENDATIONS

The detailed cost and quality information collected on Form 423 is useful to the Commission and to other governmental entities, including state regulatory commissions. The Commission therefore recommends that the FPC reject the petitioners' request that the FPC cease collecting this information.

Since the prompt disclosure of Form 423 data creates a risk of anticompetitive behavior by fuel suppliers, the Commission recommends that the FPC modify its regulations concerning the dissemination of such data. The Commission in general endorses the petitioners' proposal that the FPC publish only each utility's average cost of fuel, but this endorsement is subject to the following qualifications. First, the Commission believes that the detailed information collected by the FPC should be made available upon request not only to federal agencies, but also to state regulatory commissions. Second, the detailed information collected on Form 423 obviously loses its competitive significance over time, and the Commission recommends that the FPC establish a time period (e.g., two years after submission) at the end of which it would be presumed that the information had become dated and therefore would be publicly available.

By direction of the Commission.

MICHAEL PERTSCHUK,
Chairman.

APPENDIX D

UNITED STATES DEPARTMENT OF JUSTICE

JULY 19, 1977.

Hon. RICHARD L. DUNHAM,
Chairman, Federal Power Commission, Washington, D.C.

Re Petition of Certain Electric Utilities for Amendment of Form 423, FPC Docket No. RM 77-2.

DEAR MR. CHAIRMAN: As you know, a group of electric utilities has petitioned the Federal Power Commission to amend its regulation (18 CFR 141.61) relating to Form 423 which requires electric utilities to submit on a monthly basis a detailed breakdown of costs and quality of fuel received. By their petition the utilities request that the average rather than actual cost of fossil fuel delivered be reported and that the identity of each fuel supplier and the expiration date of each contract be eliminated from the reporting form. Alternatively, the utilities request that information provided pursuant to Form 423 be treated as confidential. Under the utilities' proposal, detailed data would be made available only to FPC staff and to other federal agencies; only summaries of each form would be made available to the public.

We have reviewed the arguments of the petitioning utilities as well as a recent letter from Chairman Pertschuk of the Federal Trade Commission expressing the FTC's view on certain antitrust and consumer protection issues raised by the petition. We concur with the FTC's recommendation that the FPC should continue to collect the data in detailed form while only releasing summary information to the public. We also agree that the detailed data should be made available upon request not only to federal agencies but to state regulatory commissions.

The Antitrust Division shares the FTC's concern that the public dissemination of detailed price information could have harmful anticompetitive effects. First, the detailed data could be useful in stabilizing fuel prices;

suppliers who might normally lower their prices to compete would lose incentive to do so since their competitors could easily discover the amount of any discounts offered, denying the supplier the opportunity to increase his market share through price competition. Similarly, individual utilities which might aggressively seek lower prices in the market place would be discouraged from "shopping" for lower prices. Public disclosure of fuel costs also could encourage price-fixing among suppliers by giving them an easy way to enforce a price fixing agreement. Full access to one another's prices would reduce the incentive to "cheat" on such an agreement since any variation could easily be discovered.

On the other hand, the data presently collected by the Commission on Form 423 is useful both to the Commission and to other governmental entities concerned with anticompetitive practices and abuses in fuel procurement. For one thing, as Chairman Pertschuk noted in his letter, the FTC staff is using Form 423 data to analyze vertical integration by electric utilities. That analysis, the Chairman notes, "* * * would not have been possible if Form 423 contained only average cost data and did not identify each supplier." There also appears to be substantial reason to allow access of specific cost data to state regulatory commissions on request. The data is particularly useful to state agencies in their efforts to monitor fuel cost increases. This increasing state surveillance of utility fuel cost increases should be encouraged. Any exclusionary rule would work to the detriment of state regulatory commissions, as well as the federal government.

The obvious remedy to balance the possible anticompetitive effects of full disclosure with state and federal interests in receiving accurate cost data is for the Commission to continue to collect Form 423 data in its entirety but to modify the regulations concerning dissemination. We suggest that the detailed information collected by the FPC be made available upon request not only to federal agencies but also to state regulatory commissions. In addition, to avoid anticompetitive problems noted above, we suggest that only the average cost of each utility's fuel be made public.

The recommended modifications of the Commission's regulations strike a useful balance; such an approach protects the public from the risk of anticompetitive behavior which could result from full disclosure while maintaining scrutiny of cost data by appropriate federal and state agencies.

Sincerely yours,

JOHN H. SHENEFIELD,
Acting Assistant Attorney General,
Antitrust Division.

cc: Counsel for Petitioning Electric Utilities Federal Trade Commission.

[FR Doc.77-28635 Filed 9-28-77;8:45 am]

[7020-02]

INTERNATIONAL TRADE COMMISSION

[19 CFR Part 200]

EMPLOYEE RESPONSIBILITIES AND CONDUCT

Proposed Amendments to Financial Disclosure Regulations for Commission Employees

AGENCY: U.S. International Trade Commission.

ACTION: Notice of proposed rulemaking.

SUMMARY: This proposal amends existing financial disclosure requirements for employees of the U.S. International Trade Commission. These amendments are made in order to provide for a more thorough assessment of conflicts of interest and apparent conflicts of interest among Commission employees. The proposal, if adopted, will require a greater number of Commission employees to file confidential statements of employment and financial interests with the Commission's Deputy Counselor for Employee Responsibilities and Conduct. In addition, the proposal, if adopted, will require disclosure of certain financial interests, previously exempted or partially exempted from disclosure.

DATES: Comments must be received before 5:15 p.m. on [thirty days after publication of this notice in the FEDERAL REGISTER].

ADDRESS: Interested persons are invited to submit written comments concering the proposed amendments to the Secretary to the Commission, 701 E Street NW., Washington, D.C. 20436.

FOR FURTHER INFORMATION CONTACT:

Rhond R. Roth, Esq., Office of the General Counsel, U.S. International Trade Commission, Washington, D.C. 20436, telephone 202-523-0480.

SUPPLEMENTARY INFORMATION: Specifically, the U.S. International Trade Commission is promulgating proposed amendments to Title 19, Part 200, Subpart C, of the Code of Federal Regulations respecting the filing of confidential statements of employment and financial interests by Commission employees. The purposes of the proposed amendments are (1) to modify the reporting and financial disclosure requirements of §§ 200.735-114 and 200.735-115 of the Commission's Rules of Practice and Procedure, (2) to further implement the governmentwide reporting requirements of 5 CFR 835.403-735.411, as required by 5 CFR 735.402, (3) to provide a basis for justifiable exemption from the reporting requirements of § 200.735-114 of the Commission's rules through a new § 200.735-114a, and (4) to provide a basis for voluntary financial disclosure by employees not required to make such disclosure through a new § 200.735-114c. The authority for these amendments inheres in Executive Order 11222 (3 CFR 306 (1964-1965 Comp.)) and in the Commission's general rulemaking power as found in 19 U.S.C. 1335.

PART 200—EMPLOYEE RESPONSIBILITIES AND CONDUCT

The proposed amendments to the Commission's financial disclosure regulations are set forth as follows:

Title 19, Part 200, Subpart C, of the Code of Federal Regulations is hereby proposed to be amended by deleting the language of present §§ 200.735-114, 200.735-114a, and 200.735-115 and by substituting the following language therefor:

§ 200.735-114 Employees required to submit statements.

Except as provided in § 200.735-114a, the following employees shall submit statements of employment and financial interests:

(a) Employees paid at a level of the Executive Schedule in subchapter II of chapter 53 of title 5, United States Code.

(b) (1) Employees in grade GS-13 or above of section 5332 of title 5, United States Code, or in comparable or higher positions not subject to that section.

(2) The Director of Personnel shall list all such positions, shall include the listing in the chapter of the Commission's Policy Manual pertaining to the filing of confidential statements of employment and financial interests, and shall furnish copies thereof to the Deputy Counselor and to affected employees.

(3) The Director of Personnel shall update the listing required by paragraph (b) (2) of this section and shall take all other steps required by paragraph (b) (2) as of January 1 and July 1 of each year.

(c) (1) Employees classified below GS-13 under section 5332 of title 5, United States Code, or at a comparable pay level under other authority, who are (1) responsibile for making a decision or taking an action in regard to Commission contracting or procurement, (2) responsible for conducting investigative and research activities where the decision to be made or action to be taken could have an economic impact on any non-Federal enterprise, or (3) responsible for exercising the authority of any supervisory or investigative employee in the absence of such employee.

(2) The Director of Personnel, upon obtaining the advice of the General Counsel, shall be responsible for determining which positions below GS-13 meet the criteria of paragraph (c) (1) of this section. The Director of Personnel shall justify his or her determination in writing and shall submit it to the Civil Service Commission for its approval. Upon obtaining the approval of the Civil Service Commission, the Director of Personnel shall include the listing of these positions in the chapter of the Commission's Policy Manual pertaining to the filing of confidential statements of employment and financial interests and shall furnish copies thereof to the Deputy Counselor and to affected employees.

(3) The Director of Personnel shall evaluate his or her determination under paragraph (c) (2) of this section as of January 1 and July 1 of each year. When organizational changes or personnel actions indicate that positions should either be added to or taken from the list of positions which the Director of Personnel has determined meet the criteria of paragraph (c) (1) of this section, the Director of Personnel shall make a new determination under paragraph (c) (2) of this section and shall take all other

steps required by paragraph (c)(2) immediately upon the implementation of said organizational changes or personnel actions.

§ 200.735–114a Employees not required to submit statements.

(a) Employees in positions that meet the criteria in paragraphs (b)(1) or (c)(1) of § 200.735–114 of this subpart may be exempted from the reporting requirement of § 200.735–114 if the Director of Personnel, upon obtaining the advice of the General Counsel, determines that:

(1) The duties of a position are such that the likelihood of the incumbent's involvement in a conflict-of-interest situation is remote;

(2) The duties of a position are at such a level of responsibility that the submission of a statement of employment and financial interests is not necessary because of the degree of supervision and review over the incumbent or the inconsequential effect on the integrity of the Government.

(b) All determinations made pursuant to paragraph (a) shall be documented in a writing which shall be annexed to the listings required by paragraphs (b)(2) and (c)(2) of § 200.735–114 of this subpart. The factual bases and reasons for determinations under paragraphs (a)(1) and (a)(2) of this section shall be specified by the Director of Personnel in said writing. Said writing shall refer to the position only and shall not include the name, or other identifying particular, of the incumbent occupying the position.

(c) A statement of employment and financial interests from commissioners is not required by this subpart. Such employees are subject to separate reporting requirements under section 401 of Executive Order 11222 (3 CFR 306 (1964–1965 Comp.)).

§ 200.735–114b Employee complaints on filing requirements.

Any employee who believes that his position has been improperly included under the reporting requirements of section 200.735–114 may obtain a review thereof through the Commission's grievance procedures.

§ 200.735–114c Voluntary submission by employees.

Any employee not required to submit a statement of employment and financial interests under the criteria established by § 200.735–114 may submit such a statement to the Deputy Counselor in the manner specified in § 200.735–116 if he or she so desires.

§ 200.735–115 Forms—Interests not to be reported.

(a) Statements required to be submitted by the provisions of this subpart shall be prepared on forms (the format of which is prescribed by the Civil Service Commission) available from the Deputy Counselor.

(b) Pursuant to the authority contained in 18 U.S.C. 208(b)(2), it has been determined that the categories of financial interests hereinafter described are, to the extent indicated, exempted from the application of the prohibition of 18 U.S.C. 208(a) and need not be reported to the Deputy Counselor. Such interests are too remote or too consequential to affect the integrity of a Commission employee's services in any matter in which he may act in his governmental capacity. Therefore, the provisions of 18 U.S.C. 208(a) do not preclude the participation by a Commission employee, including a special Commission employee, in matters of a type covered by the prohibition of section 208(a) where the financial interest involved has been exempted hereunder. The following financial interests need not be reported under this subpart:

(1) Ownership of shares of a mutual fund or regulated investment company if the current aggregate market value of such shares so owned in any single mutual fund or regulated investment company does not exceed $5,000.

(2) Ownership of bonds other than corporate bonds, if the current aggregate market value of such bonds so owned in any single organization does not exceed $5,000.

By order of the Commission.

Issued September 26, 1977.

KENNETH R. MASON,
Secretary.

[FR Doc.77–28745 Filed 9–28–77;8:45 am]

[3710–]

DEPARTMENT OF DEFENSE

Corps of Engineers

[33 CFR Part 207]

LAKE WASHINGTON SHIP CANAL

AGENCY: U.S. Army Corps of Engineers, DOD.

ACTION: Notice of proposed rulemaking.

SUMMARY: We proposed to amend regulations which govern the use, administration and navigation of the Lake Washington Ship Canal, Seattle, Washington, to intensify the control of passage of hazardous cargoes through the locks. This amendment is necessary to provide additional safety requirements.

DATE: Comments must be received on or before October 15, 1977.

ADDRESS: Send comments to: Office of the Chief of Engineers, Attn: DAEN–CWO–N, Washington, D.C. 20314.

FOR FURTHER INFORMATION CONTACT:

Mr. Ralph Eppard at 202–693–5070.

SUPPLEMENTARY INFORMATION: A regulation was promulgated in 33 CFR 207.750(g) to govern the use, administration and navigation of the Lake Washington Ship Canal, Seattle, Washington. The changes we now propose are in accordance with Department of Transportation regulations in 46 CFR, Part 30, 35, 146 and 151, as set forth below:

§ 207.750 Puget Sound Area, Washington.

* * * * *

(g) Lake Washington Ship Canal; use, administration and navigation—

(1) Definitions. The term "canal" as used in the regulations in this paragraph shall include the water area in the locks and the channel and adjacent waters from a point 5,500 feet northwest of the Burlington Northern, Inc. railway bridge to the east end of the channel opposite Webster Point, Lake Washington. The term "canal grounds" shall include all grounds set aside for the use of the canal or occupied in its construction.

(2) * * *

(3) * * *

(4) Traffic signal lights. In addition to the lock signal lights described in subparagraph (5)(ii) of this paragraph, a red light, and a green light are installed on the west side of the Ballard Bridge, on the east side of the Fremont Bridge, 1,000 feet west of the Montlake Bridge, and 1,000 feet east of the Montlake Bridge, for the guidance of vessels approaching the sections of the canal between Salmon Bay and Lake Union and between Lake Union and Lake Washington, respectively. Vessels of 300 gross tons and over and all vessels with tows, except as hereinafter provided, shall not pass the red lights. The green lights will indicate that vessels may proceed. Vessels of less than 300 gross tons without tows may disregard these signals, but they shall travel at very slow speed when passing other vessels. Vessels of 300 gross tons and over and vessels with tows, except logs, whose destination is easterly between the Ballard Bridge and the Burlington Northern, Inc. railway bridge, may pass the red signals on the Ballard Bridge: Provided, such passage will not interfere with approaching traffic.

(5) Approaching and passing through locks—

(i) Signals for locks. Vessels with tows desiring to use the locks shall so indicate by two long and three short blasts of a whistle, horn or megaphone. All other vessels desiring to use the locks shall so indicate by two long and two short blasts. NOTE: The term "long blasts" means blasts of four seconds duration, and the term "short blasts" means blasts of one second duration. Signals for the opening of drawbridges are prescribed in § 203.795 of this chapter.

(ii) Lock signal lights. Red and green signal lights are installed on the guide pier west of the Burlington Northern, Inc. railway bridge below the locks. The green light will indicate to vessels bound for the large lock that the lock has been made ready. If the red light is burning, vessels bound for the large lock shall moor at the pier. Vessels bound for the small lock shall be guided into the small lock by traffic signals thereon. The masters of all vessels approaching the locks from Puget Sound shall be alert to receive and shall immediately comply with instructions by voice or signal from the employee on the west pier.

(iii) Precedence at locks. All vessels approaching the locks shall stop at the points indicated by signs placed on the canal piers or as directed by a lockman until ordered to proceed into the lock. Unless otherwise directed by the District Engineer or his authorized assistants, vessels owned or operated by the United States or the City of Seattle and passenger vessels operating on a regular schedule shall have precedence over all others in passing through the locks. Registered merchant vessels shall have precedence over pleasure craft, which shall pass through in the order of their arrival at the locks, and both shall have precedence over vessels towing floated timber or logs. Tows of floated timber and logs may be denied the use of the locks during certain hours when both locks are busy passing other traffic. However, advance notice will be given towboat companies as to the periods when log tows will be denied lockage.

(iv) Entering locks. Masters of vessels shall exercise the greatest care when entering either lock. The forward movement of vessels while taking position in the locks shall be very slow, and boats entering the small lock shall reduce their speed to not more than two and one-half miles per hour when within 200 feet of the outer gate and come to practically a full stop before entering the lock so that in case the engine mechanism fails to operate properly the momentum of the boat may be stopped easily by its lines. The masters of vessels entering either lock from either direction shall be alert to receive and shall immediately comply with instructions by voice or signal from the lock attendants.

(v) Mooring in locks. Vessels entering the locks shall be equipped with adequate lines, at least 50 feet in length being required fore and aft. While in the large lock vessels and rafts will be moored at the top of the lock wall. While in the small lock vessels shall be moored to the floating mooring wall. Lines shall not be released until the signal has been given by the lock force to leave the lock, after which there shall be no delay in leaving. All vessels not equipped to handle tie-up lines with power winches shall be equipped with suitable mooring lines of manila, or other suitable fiber, of sufficient size and strength to hold the vessel against the currents to be met within the lock chamber. The use of wire rope for tie-up by vessels not equipped to handle such lines with power winches is prohibited. Vessels may be denied the use of the locks if their lines are not in good condition, or if the mooring bits on barges are not accessible or are not equipped to prevent lines from slipping off when the water is lowered in the lock. All vessels entering the locks should have, in addition to the master, at least one person on deck to handle lines. Mates and deckhands, when preparing to moor within the lock chambers, should not throw heavy mooring lines at the lockmen on the walls, but should wait for a heaving line to be passed to them unless otherwise directed. All towboat crews, while locking or moving a tow out of the lock chamber, should station themselves so as to preclude the possibility of being injured by the parting of cable or lines under strain. Persons attempting to take vessels through the locks without assistance on deck may be required to wait until the lock is clear of other traffic before passing through. All operators of vessels are especially cautioned to use extreme care while crowded in the locks to avoid accident or fire on their boats. Under no circumstances will small craft, such as rowboats, launches and houseboats, or any other type of pleasure boats, be locked through with barges used for carrying any type of petroleum product or other hazardous material. At the discretion of the lockmaster, small craft as described above may be locked through with barge tows containing other than dangerous material. Operators of small vessels and larger vessels operating in the proximity of each other shall be alert to the danger arising from the limited maneuverability of the larger vesels, and shall exercise all precautions to prevent accident.

(6) Damage to locks or other structures.

(i) The regulations in this paragraph shall not affect the liability of the owners and operators of vessels for any damage caused by their operations to the locks or other structures. The sides and corners of all vessels and rafts passing through the locks should be free from spikes or projections of any kind which might damage the locks or other structures. Vessels with appurtenances or projections which might damage the locks or other structures shall be fitted with adequate fenders. Lockage of leaking vessels or vessels with overhanging loads may be refused. Such barge or craft shall be moored in a location outside of the channel approach to the lock so as to not interfere with passing navigation. Vessels of unusual dimensions, or other characteristics which, in the opinion of the lockmaster, pose a threat to the integrity or safety of the locks or canal will be refused passage until written permission to pass is provided by the District Engineer. Sufficient written data and drawings shall be provided the District Engineer that an engineering determination can be made as to the safety of the vessel. The District Engineer shall have the right to inspect any such vessels prior to passage. The operators of all vessels shall use care to avoid striking the guide walls or other structures pertaining to the canal.

(ii) In the interest of safety and fire prevention, all woven rope fenders used with barges carrying flammable cargo should be water-soaked or otherwise fireproofed prior to entering the lock approaches.

(iii) Burning fenders should be dropped overboard immediately rather than being placed on the deck of a barge or towboat.

(iv) A minimum of one man with a portable fender shall be stationed at the head end of every tow of hazardous cargo and at the aft end if the lockmaster so directs so as to protect the lock and guide walls from damage while entering or departing the lock structures.

(v) All cylinders or containers holding gases under pressure, or any other chemical or substance, shall be securely fastened to the hull of the vessel to prevent their rolling overboard into the lock chamber and becoming a hazard.

(vi) All containers holding paint, gasoline or other volatile materials shall be securely fastened with tight-fitting covers. To preclude a concentration of potentially explosive vapors, no paint will be allowed to be applied to the exterior of vessel hulls, houses, machinery or other equipment while the vessels are in the lock chamber.

(vii) All hatches of tank barges must be closed prior to entering lock. Tank barges with open hatch or hatches will be denied lockage.

(viii) No smoking will be permitted aboard vessels with cargoes of fuel or explosives.

(ix) All vessels carrying hazardous cargoes shall so be identified with the lockmaster. They shall be in compliance with Department of Transportation (U.S. Coast Guard) regulations (CFR Title 46, Parts 30, 35, 146, and 151, etc.) and shall accordingly carry required markings. All DOT safety regulations for transit of hazardous cargoes shall be adhered to, whether or not specifically cited or duplicated herein.

(7) Commercial statistics.

(i) On each passage through the locks, as required by section 11 of the River and Harbor Act of September 22, 1922 (42 Stat. 1043; 33 U.S.C. 555), the master or clerk of any vessel or other craft other than pleasure vessel shall furnish, upon prescribed forms provided for the purpose and obtainable at the locks, a statement of the passengers, freight, and tonnage, and such other statistical information as may be required by the forms. The total cargo carried must be reported showing separately the tonnage in transit, and the tonnage, kind, and destination of cargo to be unloaded.

(ii) * * *

(iii) Except by special permit, no vessel other than pleasure craft will be allowed to pass through the lock until a correct statement is furnished of the passengers, freight, and tonnage, and such other statistical information as may be required by the prescribed forms provided for the purpose.

(8) Rafts.

* * * * *

(9) Tows.

* * * * *

(10) Obstructing navigation.

* * * * *

(11) Turning. Vessels exceeding 100 feet in length shall not turn around, or attempt to turn around, in the concrete revetted portions of the canal east of the Ballard Bridge and a point 400 feet east of the Fremont Bridge or in the Portage Cut.

(12) Excessive working of propellers or engines.

* * * * *

(13) Landing or mooring.

* * * * *

(14) Deposit of refuse.

* * * * *

(15) Aids to navigation. Persons in charge of log rafts or other tows, and the masters of vessels and boats using the canal, shall keep a careful watch when passing buoys or other aids to navigation and promptly report to the District Engineer or his authorized assistants any displacement or damage to such aids.

NOTE.—Aids to navigation and other related data are shown on Nautical Chart No. 18447 published by the National Ocean Survey.

(16) Operation of salt water barrier in the large lock of the Hiram M. Chittenden Locks.

* * * * *

NOTE.—The Department of the Army has determined that this document does not contain a major proposal requiring preparation of an Inflation Impact Statement under Executive Order 11821 and OMB Circular A-107.

(40 Stat. 266; 33 U.S.C. 1.)

Dated: September 22, 1977.

C. A. SELLECK, Jr.,
Colonel, Corps of Engineers,
Executive Director of Civil Works.

[FR Doc.77-28665 Filed 9-28-77;8:45 am]

[6506-01]

ENVIRONMENTAL PROTECTION AGENCY

[FRL 777-7]

[40 CFR Part 52]

APPROVAL AND PROMULGATION OF IMPLEMENTATION PLANS

AGENCY: Environmental Protection Agency.

ACTION: Proposed rulemaking.

SUMMARY: Gas turbine installations with a heat input greater than 32.1 gigajoules per hour (3,000 HP) are proposed to be added to the list of source categories which require preconstruction review under the prevention of significant deterioration regulations.

DATES: Comments must be received on or before November 28, 1977.

ADDRESS: Comments must be submitted (preferably in triplicate) to: Environmental Protection Agency, Control Programs Development Division (MD-15), Research Triangle Park, N.C. 27711, Attn.: Mr. Richard G. Rhoads. All public comments received may be inspected and copied at the Public Information Reference Unit (EPA Library), Room 2922, 401 M Street SW., Washington, D.C.

FOR FURTHER INFORMATION CONTACT:

Richard G. Rhoads, Environmental Protection Agency, Control Programs Development Division (MD-15), Research Triangle Park, N.C. 27711 (919-541-5497).

SUPPLEMENTARY INFORMATION: On December 5, 1974 (39 FR 42510), the Administrator of the Environmental Protection Agency published final regulations for the prevention of significant deterioration of air quality (PSD) applicable in all 55 States and territories. The plan for preventing significant deterioration, as set forth on December 5 and amended on June 9, 1975, is implemented through a preconstruction review of major stationary sources to determine if construction of such sources in a particular area would cause a violation of specified air quality increments. Presently there are 19 source categories which require preconstruction review under the PSD requirements included in the ruling.

Certain gas turbine installations are proposed to be added to the list of sources subject to PSD at this time. Although turbines vary widely in terms of size, fuel type, and emissions, installations greater than 32.1 gigajoules per hour heat input (3,000 HP) will generally have emissions in excess of 25 lbs/hr under the proposed NSPS limit. Therefore, the Administrator feels that such installations meet the criteria for source inclusion as set forth on June 9, 1975 (40 FR 24534), and should be subject to PSD review. While the addition of these gas turbines to the list of PSD categories is now being proposed, the Administrator acknowledges the possible need to revise this action pending the outcome of current deliberations to amend the Clean Air Act.

(Sec. 110 of the Clean Air Act, as amended, 42 U.S.C. 1857c5.)

Dated: September 21, 1977.

DOUGLAS M. COSTLE,
Administrator.

It is proposed to amend Part 52 of Chapter I, Title 40 of the Code of Federal Regulations as follows:

1. In § 52.21, paragraph (d) is revised to read as follows:

§ 52.21 Prevention of significant deterioration.

* * * * *

(d) * * *

(1) * * *

(xx) Gas turbine installations.

[FR Doc.77-28717 Filed 9-28-77;8:45 am]

[FRL-797-7]

[40 CFR Part 85]

EMISSION CONTROL SYSTEM PERFORMANCE WARRANTY REGULATIONS—SHORT TEST ESTABLISHMENT

Extension of Comment Period

AGENCY: Environmental Protection Agency.

ACTION: Extension of comment period.

SUMMARY: This notice extends the period for comments to the notice of proposed rulemaking, published Wednesday, May 25, 1977 (42 FR 26742), regarding the short test provision of the Clean Air Act.

DATE: All relevant material received on or before November 7, 1977, will be considered.

ADDRESS: All comments should be sent to: Deputy Assistant Administrator, Office of Mobile Source Air Pollution Control (AW-455), Environmental Protection Agency, 401 M Street SW., Washington, D.C. 20460.

FOR FURTHER INFORMATION CONTACT:

Paul Lapsley, Regulatory Management Staff, Office of Mobile Source Air Pollution Control, 202-755-0596. Environmental Protection Agency, 401 M Street SW., Washington, D.C. 20460.

SUPPLEMENTARY INFORMATION: Requests for another extension of the comment perior (the initial comment period was extended by 45 days in an August 9, 1977 FEDERAL REGISTER notice) have been expressed citing the need for additional time following the public workshops to submit comments which would reflect any issues raised in the workshops. The Agency has considered the requests, and decided that an extension would be in the best interest of all parties concerned.

Accordingly the comment period is hereby extended to November 7, 1977.

Dated: September 22, 1977.

ERICK O. STARK,
Acting Assistant Administrator
for Air and Waste Management.

[FR Doc.77-28619 Filed 9-28-77;8:45 am]

[40 CFR Part 148]

[FRL 778-8]

WATER PROGRAMS

Sole or Principal Source Aquifer Areas

AGENCY: Environmental Protection Agency.

ACTION: Proposed rule.

SUMMARY: These proposed regulations implement aquifer requirements of the Safe Drinking Water Act. The regulations establish procedures for designating areas where an aquifer is the sole or principal source of drinking water, and for reviewing commitments of Federal financial assistance to projects in designated areas. The purpose is to prevent grants of Federal financial assistance to projects which may contaminate a "sole source" aquifer so as to create a significant hazard to public health.

DATE: Comment period: November 28, 1977.

ADDRESS: Send comments to: Environmental Protection Agency, Office of Water Supply (WH-550), 401 M Street SW., Washington, D.C. 20460.

FOR FURTHER INFORMATION CONTACT:

Ms. Zoraida J. Carballeira, Program Analyst, State Programs Division, Office of Water Supply (WH-550), Environmental Protection Agency (202-426-3934).

SUPPLEMENTARY INFORMATION: These proposed regulations implement Section 1424(e) of the Safe Drinking Water Act (42 U.S.C. 300f, 300h-3(e); 88 Stat. 1660 et. seq.; Pub. L. 93-523).

Section 1424(e) states:

> If the Administrator determines, on his own initiative or upon petition, that an area has an aquifer which is the sole or principal drinking water source for the area and which, if contaminated, would create a significant hazard to public health, he shall publish notice of that determination in the FEDERAL REGISTER. After the publication of any such notice, no commitment for Federal financial assistance (through a grant contract, loan guarantee, or otherwise) may be entered into for any project which the Administrator determines may contaminate such aquifer through a recharge zone so as to create a significant hazard to public health, but a commitment for Federal assistance may, if authorized under another provision of law, be entered into to plan or design the project to assure that it will not so contaminate the aquifer.

In summary, Section 1424(e) authorizes:

(a) Designation of sole or principal source aquifer areas; and

(b) Review of Federal financially assisted projects which may contaminate the aquifer.

DESIGNATION

Subpart B of these regulations establishes requirements for an area to qualify for designation under Section 1424(e). Designation of an area will be made by the Administrator on his own motion, or upon receipt of a public petition meeting specified criteria, if the Administrator determines that an aquifer is the sole or principal source for the area and would, if contaminated, create a significant hazard to public health. The Administrator's determination will be based upon significant Regional input and upon the recommendation of the Regional Administrator.

The FEDERAL REGISTER notice of a designation will include a description of the boundaries of the recharge zone and the streamflow source zone of the aquifer in question. Maps of the area will be made available to the public upon request. Upon designation of an area, the EPA Regional Office in the area will also notify all regional Federal agencies of the designation and will provide the agencies with maps outlining the recharge zone and the streamflow source zone. EPA headquarters will notify the heads of all Federal agencies.

The only area which has been designated to date is the San Antonio, Texas area where the Edwards Underground Reservoir is the sole source of water supply for over 1,000,000 people.

PROJECT REVIEW

Section 1424(e) provides that no commitment of Federal financial assistance shall be made to a project which the Administrator determines may contaminate an aquifer in a designated area through its recharge zone so as to create "a significant hazard to public health." Subpart C of these regulations establishes procedures for review of projects for which an application for Federal financial assistance has been made. The project review process will be implemented by the Regional Administrators with the exception of the final determination which will be made by the Administrator. Regional Administrators are encouraged to explore all available alternatives with the Federal agencies involved, before a recommendation is submitted to the Administrator to determine that a project may contaminate an aquifer in a designated area so as to create a signifícant hazard to public health.

Programs and actions will be subject to EPA's project review authority only if an application for Federal financial assistance has been submitted. Federal actions such as dredging performed by the Army Corps of Engineers, which do not involve a grant of financial assistance to a project, are not affected by the project review authority granted by Section 1424(e). Similarly, Federal actions of programs performed by contractors for the Federal Government, such as construction of roads on Federal lands by a contractor under the supervision of the Bureau of Land Management are not subject to project review. Although this type of Federal action does not fall within the scope of Section 1424(e), an obligation to evaluate ground water impact may exist based on other authority. Some actions may be subject to the provisions of the National Environmental Policy Act (NEPA), and the preparation of an environmental impact statement (EIS) may be required. Furthermore, in accordance with Executive Order 1752, all Federal facilities have a responsibility to take the initiative in the protection of the environment.

If a commitment of Federal financial assistance is sought which is within the meaning of Section 1424(e), the Administrator then has the authority to review the project for which financial assistance is sought, in order to determine whether the project may contaminate an aquifer in a designated area so as to create a significant hazard to public health. EPA will not be concerned with reviewing, on an individual basis, small, isolated commitments of financial assistance such as individual home mortgage loans (e.g., Farmers Home Administration loans and Veterans' Administration loans) which presumptively have an insignificant impact on aquifer quality. However, EPA may conduct review of the cumulative impact if a large number of such projects is of concern.

Because ground water impact evaluations are not only required under Section 1424(e), but are also an integral part of the responsibilities imposed under the National Environmental Policy Act (NEPA), the process of project review pursuant to Section 1424(e) will be integrated as fully as possible with the review of Federal actions subject to NEPA. All Federal agencies have published guidelines for the implementation of NEPA which provide the basis for determining whether a project will have a "significant impact on the environment." Review under Section 1424(e) requires the closely related determination of whether a project may contaminate an aquifer through its recharge zone so as to pose a "significant hazard to public health." Integration of the two types of review will allow EPA and other Federal agencies to avoid needless duplication of efforts under the two statutes and will prevent inefficient use of resources in carrying out ground water impact evaluations. It will also permit EPA to take advantage of the Federal agencies' and the public's familiarity with the NEPA process. The heads of all Federal agencies have been advised by the Council on Environmental Quality (CEQ) in a memorandum dated November 19, 1976, that NEPA guidelines should be amended to place specific emphasis on the evaluation of the ground water impact of projects which might affect the quality of an aquifer through its recharge zone and that projects should be submitted to a thorough ground water impact evaluation in accordance with NEPA procedures.

Assessment of environmental impact under NEPA results in the preparation of an Environmental Impact Statement (EIS) if an initial environmental assessment shows that a project will have a significant impact on the environment. EPA will ordinarily review the potential impact of projects on aquifers in designated areas pursuant to Section 1424(e) at the time that draft or final EIS's are submitted to EPA. An EIS prepared for a project which is subject to Section 1424 (e) as well as NEPA should contain all the information which is necessary for EPA to properly evaluate a project's impact on ground water quality under Section 1424(e). EPA will routinely review under Section 1424(e) all EIS's prepared for projects which are to be located in the recharge zone or streamflow source zones of aquifers in designated areas which may have an impact on ground water quality and for which an application for Federal financial assistance has been made.

Although it is anticipated that established NEPA procedures will ordinarily be sufficient to ensure adequate review of ground water impact pursuant to Section 1424(e), the Regional Administrators shall also have the authority in implementing Section 1424(e) to specifically request that a ground water impact evaluation which will satisfy the requirements of Section 1424(e) be prepared by the Federal agency from which a commitment of financial Administrator's

own motion based on information available to him, or upon receipt of a public petition meeting certain specified criteria. A well-research ground water impact chapter extracted from an environmental assessment prepared in accordance with NEPA may be sufficient to satisfy such a request for a ground water impact evaluation under Section 1424(e).

To ensure that EPA and the public are informed of projects which may affect the quality of the aquifer, EPA will request from each funding Federal agency that a list of projects for which EIS's will be prepared and which are located in the recharge zone or streamflow source zones of sole source aquifers be periodically submitted to the appropriate Regional Administrator and made available to the public upon request. Once an area is designated the Regional Administrators shall also have discretionary authority to work out with regional Federal agencies any agreements or memoranda of understanding which they feel are necessary to supplement the general regulations and to keep them informed of projects in the area. The Regional Administrators may assume the initiative in obtaining information on commitments of Federal financial assistance which are under consideration and in taking other steps to ensure that they are kept up-to-date on Federal funding of projects in the area. The Regional Administrators may, for example, request lists of applications for Federal financial assistance from the local A-95 Clearinghouse. EPA will rely as much as possible upon existing State capabilities in protecting the ground water quality of aquifers. This reliance will in no way constitute a delegation of project review authority, since this is clearly an EPA responsibility which may not be delegated. However, State assistance can be very valuable in providing the agency with information and comments based on knowledge of local ground water problems. The State's role will, of course, depend upon the individual State's capabilities and interests. Regional Administrators, upon designation of an area, may workout memoranda of understanding with the States in order to determine their participation in the protection of ground water quality in the area.

The content of these regulations is primarily procedural. EPA plans to initiate a study to provide technical guidance to EPA regional reviewers for the assessment of ground water impact evaluations prepared by Federal agencies in three major project categories: (1) Multi-unit housing development, (2) highways, and (3) sewage collection, treatment, and disposal facilities. Forthcoming technical guidance will also contain a detailed outline of the information which should be provided by Federal agencies for those project categories. In the meantime, Section 1424(e) review will be carried out in conjunction with NEPA review as currently implemented.

Experience with the interim guidelines issued for the San Antonio area (40 FR 58292, December 16, 1975) has been evaluated in formulating these national regulations.

Public comment on these proposed regulations shall be submitted on or before November 28, 1977 to the following address:

Environmental Protection Agency, Office of Water Supply (WH-550), 401 M Street SW., Washington, D.C. 20460.

Dated: September 22, 1977.

DOUGLAS M. COSTLE,
Administrator.

In consideration of the foregoing, it is proposed to add Part 148 as follows:

Subpart A—General Provisions

Sec.

148.1 Applicability.
148.2 Definitions.

Subpart B—Designation of Sole or Principal Source Aquifer Area

148.10 Submission of petitions.
148.11 Decision to initiate designation procedures.
148.12 Public hearing.
148.13 Determination by the Administrator.

Subpart C—Project Review

148.20 Project review authority.
148.21 Public information.
148.22 Submission of petitions.
148.23 Decision to review.
148.24 Notice of review.
148.25 Request for information.
148.26 Public hearing.
148.27 Decision under Section 1424(e).
148.28 Resubmittal of redesigned projects.
148.29 Funding to redesigned projects.

AUTHORITY: Sec. 1424(e), Safe Drinking Water Act 42 U.S.C. 300f, 300h-3(e); 88 Stat. 1660 et. seq.; Pub. L. 93-523).

Subpart A—General Provisions

§ 148.1 Applicability.

This part sets forth, pursuant to Section 1424(e) and 1450 of the Public Health Service Act, as amended by the Safe Drinking Water Act, Pub. L. 93-523, regulations relating to aquifers which are the sole or principal drinking water source for an area and which, if contaminated, would create a significant hazard to public health.

§ 148.2 Definitions.

As used in these regulations and except as otherwise specifically provided, the term(s):

(a) "Act" means the Public Health Service Act, as amended by the Safe Drinking Water Act, Pub. L. 93-523.

(b) "Contaminant" means any physical, chemical, biological, or radiological substance or matter in water.

(c) "Research zone" means any area through which water enters the aquifer.

(d) "Administrator" (Regional Administrator) means the Administrator (Regional Administrator) of the United States Environmental Protection Agency.

(e) "Person" means an individual, corporation, company, association, partnership, state, or municipality.

(f) "Project" means a program or action for which an application for Federal financial assistance has been made.

(g) "Federal financial assistance" means any financial benefits provided directly as aid to a project by a department, agency, or instrumentality of the Federal government in any form including contracts, grants, and loan guarantees. Actions or programs carried out by the Federal government itself such as dredging performed by the Army Corps of Engineers do not involve "Federal financial assistance." Actions performed for the Federal government by contractors, such as construction of roads on Federal lands by a contractor under the supervision of the Bureau of Land Management, should be distinguished from contracts entered into specifically for the purpose of providing financial assistance, and will not be considered programs or actions receiving "Federal financial assistance." "Federal financial assistance" is limited to benefits earmarked for a specific program or action and directly awarded to the program or action. Indirect assistance, e.g., in the form of a loan to a developer by a lending institution which in turn receives Federal assistance not specifically related to the project in question, is not "Federal financial assistance" under Section 1424(e).

(h) "Commitment of Federal financial assistance" means a written agreement entered into by a department, agency, or instrumentality of the Federal Government to provide financial assistance as defined in paragraph (g) of this section. Renewal of a commitment which the issuing agency determines has lapsed shall not constitute a new commitment unless the Regional Administrator determines that the project's impact upon a designated aquifer has not been previously reviewed under Section 1424(e). The determination of a Federal agency that a certain written agreement constitutes a commitment shall be conclusive with respect to the existence of such a commitment.

(i) "Streamflow source zone" means the upstream headwaters area which drains into the recharge zone.

(j) "Significant hazard to public health" means any level of contaminant which causes or may cause the aquifer to exceed any maximum contaminant level set forth in any promulgated National Primary Drinking Water Standard at any point where the water may be used for drinking purposes or which may otherwise adversely affect the health of persons, or which may require a public water system to install additional treatment to prevent such adverse effect.

(k) "Aquifer" means a geological formation, group of formations, or part of a formation that contains sufficient saturated permeable material to yield significant quantities of water to wells or springs.

(l) "Public water system" means a system for the provision to the public of piped water for human consumption, if such system has at least fifteen service connections or regularly serves an average of at least twenty-five individuals daily at least sixty (60) days out of the year. Such term includes (1) any collection, treatment, storage, and distribution facilities under control of the operator

of such system and used primarily in connection with such system, and (2) any collection or pretreatment storage facilities not under such control which are used primarily in connection with such system.

(m) "Sole or principal source aquifer" means an aquifer which supplies 50 percent or more of the drinking water for an area.

(n) "Area" means a large territory, usually encompassing more than one county.

Subpart B—Designation of Sole or Principal Source Aquifer Areas

§ 148.10 Submission of petitions.

Any person may submit a petition requesting the Administrator to determine that an area has a sole or principal source aquifer. Petitions not meeting the requirements set forth below may be returned to the petitioner with a request that available information be submitted. Any petition shall be submitted in duplicate and shall include:

(a) The name, address, and telephone number of the individual, organization, or other entity submitting the petition;

(b) A brief statement of the requesting person's interest in the Administrator's determination;

(c) A statement of why, in the petitioner's view, contamination of the aquifer would result in a significant hazard to public health;

(d) All pertinent information known to the petitioner regarding:

(1) The aquifer and its location;

(2) The location of the area for which the petitioner alleges the aquifer is the sole or principal source of drinking water;

(3) The population in the area described under subparagraph (2) of this paragraph;

(4) Alternative sources of drinking water for the area described under subparagraph (2) of this paragraph;

(5) The recharge and streamflow source zone (or zones) for the aquifer and its location;

(6) The sources of recharge to the aquifer and their location;

(7) Projects which might contaminate the aquifer through the recharge zone; and

(8) The public water systems utilizing water from the aquifer, the number of people served by each system and the water treatment provided by each system.

(e) Maps showing, to the best of the petitioner's knowledge and belief:

(1) The location and boundaries of the aquifer;

(2) The location and boundaries of the recharge zone or zones for the aquifer; and

(3) The location of the source or sources of recharge to the aquifer.

§ 148.11 Decision to initiate designation procedures.

(a) The Administrator may consider designation of an area on his own initiative, on the initiative of a Regional Administrator, or as a response to a public petition.

(b) Upon receipt of a petition meeting the requirements of § 148.10, or upon his own initiative, the Regional Administrator shall review all the information readily available to him which is relevant to the existence of a sole or principal source aquifer. All such information shall be forwarded by the Regional Administrator to the Administrator along with this recommendation.

(c) The Administrator will review all information available to him, determine whether the region should initiate formal designation procedures, and notify the Regional Administrator. If the notification is affirmative, and where appropriate and in the public interest, the Regional Administrator will publish in the FEDERAL REGISTER notice of any petition submitted in accordance with § 148.10 hereof, and shall indicate in the FEDERAL REGISTER the availability for public review of data and information available to the Regional Administrator which are relevant to a determination regarding the existence of a sole or principal source aquifer in the area.

§ 148.12 Public hearing.

Where there is a significant public interest the Regional Administrator may hold a public hearing on whether an area should be designated under this subpart. Any such hearing shall be conducted by the Regional Administrator or his designee in an informal, orderly, and expeditious manner. Where appropriate, limits may be placed upon the time allowed for oral statements, and statements may be required to be submitted in writing. The Regional Administrator will give notice of such a public hearing by any reasonable means he deems appropriate.

§ 148.13 Determination by the Administrator.

The Regional Administrator will make his recommendation on designation to the Administrator no later than six (6) months after the date of publication of the FEDERAL REGISTER notice under § 148.11.

(b) Upon the recommendation of the Regional Administrator, the Administrator shall either make the designation or determine that the area should not be designated. In deciding whether to designate an area under Section 1424(e), the Administrator shall consider:

(1) The availability of alternative sources of drinking water;

(2) The size of the area and population served by the aquifer;

(3) The susceptibility of the aquifer to contamination through the recharge zone;

(4) The location of the aquifer;

(5) The number of public water systems utilizing water from the aquifer, the number of people served by such systems, and the treatment provided by such systems; and

(6) Such other factors as he deems relevant.

(c) If the Administrator determines that an area will be designated, he shall identify the boundaries of the recharge zone, the streamflow source zone, or portions thereof, through which contamination could affect the area for which the aquifer is the sole or principal source of drinking water, and, to the extent known, the water body or bodies which contact such recharge zone.

(d) The Administrator shall publish his determination in the FEDERAL REGISTER, including the basis for his decision.

Subpart C—Project Review

§ 148.20 Project review authority.

(a) Once an area is designated pursuant to Subpart B of this part, no subsequent commitments of Federal financial assistance may be made to projects which the Administrator determines may contaminate the aquifer so as to create a significant hazard to public health.

(b) The Regional Administrator is hereby delegated the authority and assigned responsibility for carrying out the project review process assigned to the Administrator under Section 1424(e) of the Act, except the final determination that a project may contaminate a sole or principal source aquifer in a designated area through its recharge zone so as to create a significant hazard to public health.

(c) The Regional Administrator may review any project which he considers may potentially contaminate a sole or principal source aquifer in a designated area through its recharge zone so as to create a significant hazard to public health.

§ 148.21 Public information.

After an area is designated under Section 1424(e), Federal agencies, for projects located in the recharge zone and streamflow source zones, are required to:

(a) Maintain a list of projects for which environmental impact statements will be prepared in accordance with the National Environmental Policy Act (NEPA);

(b) Revise the list at regular intervals and submit to EPA; and

(c) Make the list available to the public upon request.

§ 148.22 Submission of petitions.

Any person may submit a petition requesting the Regional Administrator to review a project to determine if such project may contaminate an aquifer in an area designated under Subpart B of this part through its recharge zone so as to create a significant hazard to public health. Any such petition shall identify:

(a) The name, address, and telephone number of the individual, organization or other entity submitting the petition;

(b) A brief statement of the requesting person's interest in the Regional Administrator's determination;

(c) The name of the project and Federal agency involved;

In addition, the petitioner is requested to submit to EPA available information on:

(d) Applicable action already taken by State and local agencies including establishment of regulations to prevent contamination of the aquifer and why, in the petitioner's judgment, that action was inadequate;

(e) Any actions taken under the National Environmental Policy Act and why, in the petitioner's judgment, the action was inadequate in regard to evaluation of potential effect on the aquifer;

(f) The potential contaminants involved;

(g) The means by which the contaminant might enter the aquifer; and

(h) The potential impact of the proposed project.

§ 148.23 Decision to review.

(a) The Regional Administrator shall review under Section 1424(e) all projects located in the recharge or streamflow source zone of sole source aquifers for which a draft or final EIS is submitted which may have an impact on groundwater quality and which involve Federal financial assistance as defined in these regulations.

(b) Upon receipt of a public petition, the Regional Administrator shall decide whether the project which is the subject of the petition should be reviewed under Section 1424(e).

(c) The Regional Administrator may decide to review a project upon his own motion.

(d) In determining whether to review a project upon receipt of a public petition or upon his own motion, the Regional Administrator shall consider whether the project is likely to directly or indirectly cause contamination of the aquifer through its recharge zone, taking into account any factors he deems relevant, including:

(1) The location of the project, and

(2) The nature of the project.

(e) In determining whether to review a project upon receipt of a public petition or upon his own motion, the Regional Administrator may consult with, or request information from, the Federal agency to which the project application has been made, the applicant seeking Federal assistance, appropriate State and local agencies, and other appropriate persons or entities.

(f) In determining whether to review a project which is the subject of a public petition, the Regional Administrator may request such additional information from the petitioner as he deems necessary

§ 148.24 Notice of review.

(a) Notice to Federal agency. If the Regional Administrator decides upon receipt of a public petition or upon his own motion to review a project under Section 1424(e), he shall give written notification of the decision to the Federal agency from which financial assistance is sought. The notification shall include a description and identification of the project.

(b) Notice to Public. When the Regional Administrator undertakes to review a project pursuant to § 148.23 above, he shall provide public notice of project review by such means as he deems appropriate. The notice shall set forth the availability for public review of all data and information available, and shall solicit comments, data and information with respect to the determination of impact under Section 1424(e). The period for public comment shall be 30 days after public notice unless the Regional Administrator extends the period at his discretion or a public hearing is held under § 148.26.

§ 148.25 Request for information.

In reviewing a project under Section 1424(e), the Regional Administrator may request any additional information from the funding Federal agency which is pertinent to reaching a decision. If full evaluation of the groundwater impact of a project has not been submitted in accordance with the agency's NEPA procedures, the Regional Administrator may specifically request that the Federal agency submit a groundwater impact evaluation of whether the proposed project may contaminate the aquifer through its recharge zone so as to create a significant hazard to public health.

§ 148.26 Public hearing.

If there is significant public interest, the Regional Administrator may hold a public hearing with respect to any project or projects to be reviewed if he finds that such a hearing is necessary and would be helpful in clarifying the issues. Public hearings held under this section should be coordinated, if possible, with other Federal public hearings held pursuant to applicable laws and regulations. Any such hearing shall be conducted by the Regional Administrator or designee in an informal, orderly and expeditious manner. Where appropriate, limits may be placed upon the time allowed for oral statements, and statements may be required to be submitted in writing. The record will be held open for further public comment for seven (7) days following the close of the public hearing.

§ 148.27 Decision under Section 1424(e).

(a) As soon as practicable after the submission of public comments under Section 1424(e) and information requested by the Environmental Protection Agency from the originating Federal agency, on the basis of such information as is available to him, the Regional Administrator shall review the project taking all relevant factors into account, including:

(1) The extent of possible public health hazard presented by the project;

(2) Planning, design, construction, operation, maintenance and monitoring measures included in the project which would prevent or mitigate the possible health hazard;

(3) The extent and effectiveness of State or local control over possible contaminant releases to the aquifer;

(4) The cumulative and secondary impacts of the proposed project; and

(5) The expected environmental benefits of the proposed project.

(b) After reviewing the available information, the Regional Administrator shall:

(1) Determine that the risk of contamination of the aquifer through the recharge zone so as to create a significant hazard to public health is not sufficiently great so as to prevent commitment of Federal funding to the project; or

(2) Forward the information to the Administrator with his recommendation that the Administrator determine that the project may contaminate the aquifer through the recharge zone so as to create a significant hazard to public health.

(c) After receiving the available information forwarded by the Regional Administrator, the Administrator shall:

(1) Determine that the risk of contamination of the aquifer through the recharge zone so as to create a significant hazard to public health is not sufficiently great so as to prevent commitment of Federal funding to the project; or

(2) Determine that the project may contaminate the aquifer through the recharge zone so as to create a significant hazard to public health.

(d) Notice of any decisions by the Regional Administrator under paragraph (b)(1) of this section or by the Administrator under paragraph (c)(1) and (c)(2) to prevent a commitment of Federal funding shall be published in the FEDERAL REGISTER. Such notices shall include a description of the proposed project, and a statement of the decision with an accompanying statement of facts and reasons.

§ 148.28 Resubmittal of redesigned projects.

If a project is redesigned in response to EPA's objections, the applicant for Federal financial assistance or the grantor agency may file a petition with the Regional Administrator for withdrawal of the determination that the project may contaminate the aquifer through the recharge zone so as to create a significant hazard to public health. Any such petition shall demonstrate how the project has been redesigned so as to justify the withdrawal of EPA's objections. If appropriate, the Regional Administrator may request public comments or hold an informal public hearing to consider the petition. After review of pertinent information, the Regional Administrator shall either deny the petition or recommend to the Administrator that the initial determination that a project may contaminate the aquifer be vacated. Upon receipt of a recommendation from the Regional Administartor that a determination be vacated, the Administrator shall either deny the petition or order that the initial determination be vacated. The final decision regarding a petition shall be published in the FEDERAL REGISTER with an accompanying statement of reasons.

§ 148.29 Funding to redesigned projects.

After publication of a decision that a proposed project may contaminate a sole or principal source aquifer in a designated area through its recharge zone so as to create a significant hazard to public health, a commitment for Federal financial assistance may be entered into, if authorized under another provision of law, to plan or redesign such project to assure that it will not so contaminate the aquifer.

[FR Doc.77-28695 Filed 9-28-77;8:45 am]

[6560-01]

[40 CFR Part 250]

[FRL 797-6]

DEVELOPMENT OF REGULATIONS FOR THE TRANSPORTATION OF HAZARDOUS WASTE

Joint Public Meeting

AGENCY: Environmental Protection Agency and Office of Hazardous Materials, Department of Transportation

ACTION: Supplemental advanced notice of proposed rulemaking; notice of meeting.

SUMMARY: The Envronmental Protection Agency announces a joint meeting with the Office of Hazardous Materials Operations/DOT to determine whether current DOT regulations under the Hazardous Materials Transportation Act of 1974 may have the potential to be expanded to partially meet the mandates of the Resource Conservation and Recovery Act of 1976.[1] The purpose of this meeting is to maximize the coordination of the RCRA regulatory requirements with existing DOT rules for the benefit of all parties.

DATES: The meeting will be held on October 26, 1977. Comments must be received on or before November 9, 1977.

ADDRESSES: Send comments to: U.S. Environmental Protection Agency, Office of Solid Waste, Hazardous Waste Materials Division, Docket Section, Room 2111, 401 M St. SW., Washington, D.C. 20460, and Department of Transportation, Room 6500, Trans Point Building, 2100 Second Street SW., Washington, D.C. 20590.

The meeting will be held at the Ramada O'Hare Inn, Mannheim and Higgins Road, Des Plaines, Ill., 312-827-5131.

SUPPLEMENTARY INFORMATION: The Resource Conservation and Recovery Act of 1976 (RCRA) mandates a comprehensive Federal-State-local approach to all aspects of waste management, including resource conservation and recovery, land disposal of municipal and industrial wastes, and authorizes a new regulatory program for hazardous wastes.

The Environmental Protection Agency (EPA) under Subtitle C—Hazardous Waste Management—is required to write standards for generators, shippers, transporters, and receivers of hazardous waste. In addition EPA is required to develop criteria and a list to define what are hazardous wastes.

During the analysis of the RCRA requirements, it became apparent that current Department of Transportation (DOT) regulations under the Hazardous Materials Transportation Act of 1974 (HMTA) may have the potential to be expanded to partially meet the mandate of RCRA. EPA would like to maximize the coordination of the RCRA regulatory requirements with existing DOT rules for the benefit of all parties.

The Act requires that regulations developed under Subtitle C of RCRA be consistent with the requirements of HMTA and the regulations thereunder. In addition, it authorizes the EPA to make recommendations to DOT respecting regulations for hazardous wastes under HMTA and for the addition of materials to be covered by that Act.

Authority for the regulation of hazardous waste transportation is contained in both HMTA and RCRA. The HMTA is concerned with the protection of public safety, health, and property during the loading, transportation, storage incident to transportation, and unloading of hazardous materials. HMTA requires the Secretary of Transportation to designate materials as hazardous upon finding that the transportation of a particular quantity and form of material in commerce may pose an unreasonable risk to health and safety or property. The materials designated as hazardous may include, but are not limited to: explosives, radioactive materials, etiologic agents, flammable liquids or solids, combustible liquids or solids, poisons, oxidizing or corrosive materials, and compressed gases.

Under Subtitle C, RCRA is concerned with the protection of the public health and the environment from improper hazardous waste management during transportation, treatment, storage or disposal. Hazardous waste as defined by RCRA is a solid waste, or combination of solid wastes which because of its quantity, concentration, or physical, chemical, or infectious characteristics may cause, or significantly contribute to an increase in mortality or an increase in serious irreversible, or incapacitating reversible, illness or pose a substantial present or potential hazard to human health or the environment when improperly treated, stored, transported, or disposed of. In turn, RCRA defines "solid" waste to include solid, liquid, semisolid, or contained gaseous material resulting from industrial, commercial, mining, and, with some exception, agricultural operations, and from community activities. The Administrator shall take into account, when designating hazardous wastes, toxicity, persistence and degradability in nature, potential for accumulation in tissue, and other related factors such as flammability, corrosiveness and other hazardous characteristics.

For the transportation of hazardous wastes under RCRA, Section 3002 requires the Administrator to develop standards for generators/shippers of hazardous wastes concerning labeling practices for any containers used for storage, transport, or disposal that will identify accurately such wastes; use of appropriate containers, and use of a manifest system to assure that all hazardous waste generated is designated for treatment, storage or disposal to a permitted hazardous waste management facility. The manifest as defined by the Act means the form used for identifying the quantity, composition, and the origin, routing, and destination of hazardous waste during its transportation from the point of generation to the point of disposal, treatment, or storage. Section 3003 requires the Administrator to develop standards for transporters of hazardous waste concerning recordkeeping, transportation of hazardous wastes only if properly labeled, compliance with the manifest system and transportation of all the hazardous wastes to the designated permitted facility. In addition, the Administrator is considering the development of standards for the acceptance of hazardous waste for transport, loading and stowage of hazardous wastes, notification in the event of a spill and spill reporting, marking and placarding of vehicles, and notification of the transportation of hazardous wastes.

Many of the standards being considered under RCRA for transportation are currently required under HMTA. Specifically, definition of a hazardous material (waste), labeling, placarding, packaging, manifest (shipping document) spill notification and reporting, and loading and stowage. In addition, HMTA has provisions for the development of standards concerning recordkeeping and registration.

In December of 1976 the Department of Transportation evidenced concern for the development of regulations for hazardous waste transporters. HM-145, Environmental and Health Effects Materials Advance Notice of Proposed Rulemaking, published December 9, 1976, in the FEDERAL REGISTER, presented several questions concerning hazardous wastes: "with regard to hazardous wastes, what classification system may be used to clearly identify mixtures as opposed to single compound materials; what packaging may be appropriate for transportation; and how existing transportation documentation can be used to cover transport of hazardous wastes from the generator (shipper) to the disposer (consignee)." Several comments were received expressing concern for the development of hazardous waste transportation regulations by both EPA and DOT.

[1] See 42 FR 22332, May 2, 1977, for information on Hazardous waste guidelines and regulations.

A one-day public meeting will be held on October 26, 1977, to solicit public, industry, State and local government comment on the regulation of hazardous waste transportation by the Department of Transportation and the Environmental Protection Agency. The public meeting will begin at 9:30 a.m. at the Ramada O'Hare Inn, Mannheim and Higgins Road, Des Plaines, Ill. 312–827–5131. Interested members of the public; representatives of industry that ship as well as transport hazardous materials (waste); entities, both public and private, that respond to transportation emergencies; State and local governments; and firms that receive hazardous wastes for storage, treatment, and disposal are urged to attend and respond to any or all of the discussion topics listed below, as well as any other issues concerning the regulation of hazardous waste transportation.

The meeting is open to the public and will be conducted by a panel from the U.S. Environmental Protection Agency and the U.S. Department of Transportation.

The following procedural rule will apply. The Chairman of the panel is empowered to conduct the meeting in a manner that in his judgment will facilitate the orderly conduct of business, to schedule presentations by participants, and to exclude material which is irrelevant, extraneous, or repetitious. The time allotment for oral statements shall be at the discretion of the Chairman, but shall not ordinarily exceed 15 minutes. With the permission of any person offering a statement, questions may be asked by members of the panel. At the discretion of the Chairman, a procedure may be made available for presentation of pertinent questions from other persons or participants. Individuals with prepared statements are requested to bring at least one copy for the record. Persons unable to attend, but wishing to comment on the Discussion Topics, are invited to send written comments to the address below by November 9, 1977.

A transcript of the meetings will be made and a copy of the transcript, together with copies of all documents presented at the meeting, and all written submissions will constitute the record of the meeting. A copy of the record of the meeting will be available for public inspection by December 16, 1977, at the U.S. Environmental Protection Agency, Office of Solid Waste, Hazardous Waste Management Division, Docket Section, Room 2111, 401 M Street, S.W., Washington, D.C. 20460 and at the Department of Transportation, Room 6500, Trans Point Building, 2100 Second Street, S.W., Washington, D.C. 20590.

Anyone desiring additional information on the meeting or wishing to be placed on the program to present a statement is requested to contact: Mrs. Geraldine Wyer, Public Participation Officer, Office of Solid Waste, WH–462, U.S. Environmental Protection Agency, Washington, D.C. 20460. Phone: 202–755–9157 before October 21, 1977.

DISCUSSION TOPICS

1. Regulations being developed by the Environmental Protection Agency and existing regulations of the Department of Transportation impact the transportation of hazardous wastes. Which Agency should take the lead in developing the regulations for hazardous waste transportation? What approach should be taken? Should DOT modify its definition of hazardous materials to include all hazardous wastes? (Wastes which are bioaccumulative, toxic above current DOT definition levels, infectious, carcinogens, or having potential for genetic change are likely to be identified under RCRA as hazardous wastes and are not currently covered by the DOT Hazardous Materials Regulations.) Should EPA then incorporate DOT regulations by reference or should EPA consider a separate set of regulations to supplement the gaps in DOT regulatory coverage, in that EPA regulations would cover only wastes which are hazardous, not all hazardous materials?

2. If DOT does modify its definition of hazardous materials to include all hazardous wastes, should DOT regulations specifically address the transportation of hazardous wastes or treat them the same as hazardous materials that are bioaccumulative, toxic, infectious, carcinogenic, etc.?

3. Section 3002 of RCRA requires the development of a manifest (shipping paper) to assure that the hazardous waste is designated to a permitted hazardous waste management facility and that all the hazardous waste is delivered to that facility. Should DOT modify its shipping paper requirements to fulfill the needs of the RCRA manifest or should EPA develop requirements to supplement existing shipping paper requirements (including the possibility of a separate document)?

4. Are the current DOT requirements for labeling, marking and placarding sufficient for handling of hazardous waste in transportation? For those hazardous wastes which will not fall under DOT purview, should EPA develop labels and placards of separate design or should DOT develop the labels and placards for these hazardous wastes that are compatible with current DOT design?

5. HMTA authorizes the registration of anyone transporting hazardous materials; RCRA requires notification of the transportation of hazardous wastes. Should registration requirements be developed for transporters of hazardous wastes?

6. In the event of an accident or a spill of a hazardous material during loading, transportation, or unloading, DOT requires notification of the incident and the filing of a report. For the spill of hazardous waste, EPA is also considering similar requirements. Should notification of spills be directed to EPA, DOT (Office of Hazardous Material Operations), or the U.S. Coast Guard National Emergency Response Center? Should EPA and DOT receive incident reports (DOT for hazardous materials and EPA for hazardous wastes), or should all reports be filed with DOT (even when spilled hazardous wastes are not covered by DOT regulation)?

7. In the event of a spill, the material cleaned up may become a hazardous waste. Should DOT or EPA develop the regulations for handling the spilled hazardous material?

8. HMTA authorizes DOT to require training to be conducted by shippers and transporters of hazardous materials. Are training programs necessary relative to emergency response and cleanup of hazardous wastes specifically? If so, to what extent should they be required?

9. Since hazardous wastes are mixtures or may be mixed during collection for transportation, is it necessary for DOT to modify its loading and stowage requirement to address the mixing and stowage of incompatible wastes?

10. Any other comments relevant to the development of regulations for transportation of hazardous wastes by the Department of Transportation and the Environmental Protection Agency are welcome.

Dated: September 22, 1977.

THOMAS C. JORLING,
Assistant Administrator for Water and Hazardous Materials.
ALAN I. ROBERTS,
Director, Office of Hazardous Material Operations.

[FR Doc.77-28591 Filed 9-28-77;8:45 am]

[4310]

DEPARTMENT OF THE INTERIOR

Office of Hearings and Appeals

[43 CFR Part 4]

REVISION OF PROCEDURES FOR PROCESSING COAL MINE HEALTH AND SAFETY DISCRIMINATION CASES

AGENCY: Office of Hearings and Appeals, Department of the Interior.

ACTION: Notice of proposed rulemaking.

SUMMARY: Section 110 (b) of the Federal Coal Mine Health and Safety Act of 1969 (30 U.S.C. § 820) provides miners, who believe they have been discharged or otherwise discriminated against because they have reported alleged health or safety violations or dangers to the Mining Enforcement and Safety Administration (MESA) or initiated or testified in a proceeding brought under the Act, the right to file an application for review of the discriminatory actions they feel have been taken against them. These proposed rules are designed to allow for greater leeway in the present 30-day time period set for filing an application. They also provide for an investigation by MESA of each § 110(b) application filed and give MESA the right to intervene in § 110(b) cases. DATE: Written comments, suggestions, and objections must be received by October 31, 1977.

ADDRESSES: Written comments, suggestions, and objectiions should be sent to Thomas A. Mascolino, Assistant Solicitor, Administrative Litigation, Office of the Solicitor, U.S. Department of the Interior, 4015 Wilson Boulevard, Arlington, Virginia 22203, or to David Torbett, Acting Director, Office of Hearings and Appeals, U.S. Department of the Interior, 4015 Wilson Boulevard, Arlington, Va. 22203.

FOR FURTHER INFORMATION CONTACT:

W. Michael Hackett, Trial Attorney, Office of the Solicitor, U.S. Department of the Interior, 4015 Wilson Boulevard, Arlington, Va. 22203. (703–235–1171).

SUPPLEMENTARY INFORMATION: Under the provisions of § 508 of the Federal Coal Mine Health and Safety Act of 1969 (30 U.S.C. § 957), the Secretary of the Interior has the authority to issue such regulations as are deemed appropriate to carry out the functions of the Act. Based on this authority, it is proposed that Part 4, Subtitle A, Title 43, Code of Federal Regulations, be amended as set forth below.

Proposed § 4.560a will be added specifying MESA's right to intervene in § 110 (b) cases without requiring the permission of an Administrative Law Judge or the Board of Mine Operations Appeals.

Section 4.513 presently requires MESA and other potential intervenors to set forth an interest in the proceeding and show that their participation will assist in the determination of issues in question in order to convince the Administrative Law Judge or the Board of Mine Operations Appeals they are entitled to intervention status. Section 4.513 will be revised to allow MESA an absolute right to intervene in § 110(b) cases as provided in § 4.560a.

Proposed § 4.564 will require MESA to conduct an investigation into each application filed under § 110(b). Presently, MESA is not conducting investigations into each § 110(b) case. Section 4.564 will also require MESA to prepare a report of its investigation within 60 days and file that report with the Office of Hearing and Appeals. Copies will be sent to the miner and the coal mine operator or to their representatives.

Section 4.561 presently requires an application for review to be filed within 30 days after the alleged discriminatory discharge or other act of discrimination. The proposed rule will allow for late filing where extenuating circumstances exist or where the applicant has filed an action under grievance—arbitration proceedings or a complaint with another agency. The determination whether extenuating circumstances exist will be made by the Administrative Law Judge or the Board of Mine Operations Appeals.

Proposed § 4.561a(a) will direct the applicant to file his application with the Office of Hearings and Appeals, but will make delivery within the 30-day period to any MESA office of the Associate Solicitor, Division of Mine Health and Safety, acceptable since the application will then be promptly forwarded to the Office of Hearing and Appeals.

Proposed §§ 4.562(c) and 4.562(d) add two new paragraphs which will require copies of all pleadings and papers to be served o nthe Associate Solicitor, Division of Mine Health and Safety, and to be promptly delivered from the Office of Hearings and Appeals to the Associate Solicitor when distribution to the Associate Solicitor is not shown.

The Department of the Interior has determined that this document does not contain a major proposal requiring the preparation of an Economic Impact Statement under Executive Order 11821 and OMB Circular A–107.

DRAFTING INFORMATION

The principal persons responsible for preparation of this notice are: W. Michael Hackett, Trial Attorney, Office of the Solicitor, and Kate O'Beirne, Attorney-Adviser, Board of Mine Operations Appeals.

Dated: September 21, 1977.

JAMES A. JOSEPH,
Under Secretary of the Interior.

Accordingly, it is proposed to amend 43 CFR Part 4 as follows :

1. By revising the last sentence in § 4.513 to read:

§ 4.513 Intervention.

* ** The Administrative Law Judge or the Board of Mine Operations of Appeals may grant or deny petitions for intervention or may permit intervention limited to a particular stage of the proceeding, except as provided in § 4.560a for intervention by the Mining Enforcement and Safety Administration as a matter of right.

2. By adding § 4.560a to read:

§ 4.560a Intervention by the Mining Enforcement and Safety Administration under § 110(b) of the Act.

Notwithstanding § 4.513, the Mining Enforcement and Safety Administration may intervene at any time in any proceeding brought to review an alleged discriminatory discharge or other act of discrimination pursuant to section 110(b) of the Act. Such intervention shall be deemed to be a matter of right and the Mining Enforcement and Safety Administration shall not be required to obtain permission to intervene from the Administrative Law Judge or the Board of Mine Operations Appeals. Such right of intervention shall include the right of the Mining Enforcement and Safety Administration to participate in discovery procedures to the same extent as would be allowed any party.

3. By revising § 4.561 to read:

§ 4.561 When to file.

(a) An application for review of an alleged discriminatory discharge or other act of discrimination shall be filed within 30 days after the alleged discriminatory activity has occurred. However, where the Administrative Law Judge or the Board of Mine Operations Appeals find extenuating circumstances exist, or where the applicant has, within the 30-day period resorted to grievance-arbitration proceedings under a collective bargaining agreement or filed a complaint regarding the same general subject with another agency, an application may be filed after the 30-day period, but shall be filed within 30 days after the completion of such other proceeding or the resolution of such complaint.

(b) An application for compensation shall be filed within 45 days after the date of issuance of the withdrawal order which gives rise to the claim.

4. By adding new § 4.561a to read:

§ 4.561a Where to file.

(a) An application for review of an alleged discriminatory discharge or other act of discrimination shall be filed with the Office of Hearings and Appeals, 4015 Wilson Boulevard, Arlington, Va. 22203. Such application may be delivered to any office of the Mining Enforcement and Safety Administration or to the Associate Solicitor, Division of Mine Health and Safety, which shall promptly forward the application to the Office of Hearings and Appeals for filing. Delivery to any designated office other than the Office of Hearings and Appeals shall operate to toll the 30-day period.

(b) An application for compensation shall be filed with the Office of Hearings and Appeals, 4015 Wilson Boulevard, Arlington, Va. 22203.

5. By adding paragraphs (c) and (d) to § 4.562 to read:

§ 4.562 Contents of application.

* * * * *

(c) Copies of all pleadings and papers filed shall be served by the parties on each other and upon the U.S. Department of the Interior, Office of the Solicitor, Associate Solicitor, Division of Mine Health and Safety, 4015 Wilson Boulevard, Arlington, Va. 22203.

(d) In the event the Office of Hearings and Appeals receives an application filed under § 110(b) of the Act which does not show distribution to the Associate Solicitor, Division of Mine Health and Safety, a copy of the appliaction shall promptly be provided by that office to the Associate Solicitor, Division of Mine Health and Safety.

6. By adding § 4.564 to read:

§ 4.564 Investigation and report in § 110(b) cases.

Within 60 days after service of an application for review of an alleged discriminatory discharge or other act of discrimination, or within such other period of time as may be designated by the Administrative Law Judge or the Board of Mine Operations Appeals, the Mining Enforcement and Safety Administration shall investigate the facts and circumstances surrounding the alleged discriminatory discharge or other act of discrimination and file a report of the investigation with the Office of Hear-

ings and Appeals. Such report of investigation shall be included as part of the official record in the proceeding. Copies of the report shall be served on each of the parties.

(Sec. 508, Pub.L. 91-173; 83 Stat. 803 (30 U.S.C. 957).)

[FR Doc.77-28658 Filed 9-28-77;8:45 am]

[6712-01]

FEDERAL COMMUNICATIONS COMMISSION

[47 CFR Part 67]

[Docket No. 20981; FCC 77-660]

JURISDICTIONAL SEPARATIONS

Impact of Customer Provision of Terminal Equipment

AGENCY: Federal Communications Commission.

ACTION: Memorandum Opinion and Order, Docket 20981.

SUMMARY: Chief, Common Carrier Bureau authorized to conduct the routine affairs of the Docket 20981 Joint Board. Commission ex parte rules apply to State Commission members of the Joint Board and their staffs. Joint Board is in a study phase.

DATE: N/A.

ADDRESSES: Federal Communications Commission, Washington, D.C. 20554.

FOR FURTHER INFORMATION CONTACT:

Paul S. Darling, Common Carrier Bureau (202-632-5550).

[42 FR 46389]

MEMORANDUM OPINION AND ORDER

Adopted: September 22, 1977.

Released: September 28, 1977.

By the Federal-State Joint Board:

1. This Joint Board was convened to develop recommendations in an inquiry into the revisions, if any, which should be made in the prescribed jurisdictional separations procedures in order to compensate for any shift in revenue requirements and/or distribution of revenues amongst the telephone companies which might result when the customer provides his own terminal equipment.[1] In furtherance of this objective the staff members assigned to work on this Joint Board conducted a meeting in Denver, Colorado, on July 27 and 28, 1977. At that meeting the staff described various studies which had been undertaken to develop recommendations that the staff would make to the Joint Board.[2] These studies and recommendations will provide the Joint Board with a focus from which it can develop further procedures to meet the mandate of the Commission. We encourage the staff to continue these studies and report their results to the Joint Board in an expeditious manner. Following review of the staff recommendations and studies, the Joint Board will promulgate such procedures, e.g. comment and reply pleadings, oral testimony, evidentiary hearings, as may be appropriate for the successful future of this Joint Board proceeding.[3]

2. Inquiries have been addressed to the Joint Board concerning how the routine matters that develop in rule making proceedings will be dealt with and whether ex parte rules apply to the Joint Board proceeding. This Joint Board was convened to prepare a recommended decision in a restricted rule making proceeding of the Commission. Since the Chief, Common Carrier Bureau is delegated broad authority in rule making proceedings before the Commission, we believe he is authorized to conduct routine matters of this Joint Board including ruling on requests for extensions of time. In the event matters are raised requiring full Joint Board action, the Chief, Common Carrier Bureau is authorized to record the votes of the Joint Board members by means of telephone inquiry. As we previously noted, this proceeding is one phase of a restricted rule making. See § 1.1207 of the Commission's rules and regulations. Therefore the Commission's ex parte rules apply to this Joint Board proceeding. While the Commission's rules only identify decisionmaking Commission personnel, since the State Commissioners appointed to the Joint Board fully participate in the decisionmaking process, they and their designated staffs are considered decisionmaking personnel fully subject to the provisions of the Commission's ex parte rules. To avoid the possibility of an inadvertent ex parte presentation being made to the staffs of the State Commission members of this Joint Board, the State Commissioners will designate and make part of the docket file maintained at the Commission, names of those staff personnel they will utilize to assist them in this Joint Board effort. All parties are strongly encouraged to review the rules, 47 CFR 1.1201-1.1251.[4]

3. *It is ordered*, That the routine matters concerning this proceeding will be dealt with by the Chief, Common Carrier Bureau. The Chief, Common Carrier Bureau is authorized to solicit and record the votes of the Joint Board via telecommunications for matters requiring Joint Board action.

4. *It is further ordered*, That one copy of all submissions to the staff of this Joint Board shall be filed with the Secretary, Federal Communications Commission. Copies of all filings in this proceeding shall be available for public inspection during regular business hours in the Commission's Reference Room at its headquarters at 1919 M Street NW., Washington, D.C.

FEDERAL COMMUNICATIONS COMMISSION,
VINCENT J. MULLINS,
Secretary.

[FR Doc.77-28732 Filed 9-28-77;8:45 am]

[6712-01]

[47 CFR Part 67]

[Docket No. 21263; FCC 77-658]

JURISDICTIONAL SEPARATIONS

Intergration of Rates and Services for the Provision of Communications by Authorized Common Carriers Between the United States Mainland and Hawaii, Alaska, and Puerto Rico/Virgin Islands

AGENCY: Federal Communications Commission.

ACTION: Memorandum Opinion and Order, Docket 21263.

SUMMARY: The Federal-State Joint Board authorized the Chief, Common Carrier Bureau to handle the routine matters of the Board. A study phase was initiated. Parties wishing to be put on service list to file notice of intent to participate.

DATES: Notice of intent to file due 20 days after FEDERAL REGISTER publication.

ADDRESSES: Federal Communications Commission, Washington, D.C. 20554.

FOR FURTHER INFORMATION CONTACT:

Francis L. Young, Common Carrier Bureau (202-632-5550).

[42 FR 46372]

MEMORANDUM OPINION AND ORDER

Adopted: September 22, 1977.

Released: September 28, 1977.

By the Federal State Joint Board:

1. By "Notice of Inquiry, Proposed Rule Making and Creation of Federal-State Joint Board," FCC 77-365, released June 7, 1977, reconsideration denied, FCC 77-615, released September 7, 1977, the Commission convened this Joint Board to prepare a recommended decision for its consideration for the purpose of establishing the separations procedure(s) applicable to Alaska and Hawaii. The Joint Board having convened is now in a position to establish the procedures under which it will operate and which will enhance the deveopment of information required for the preparation of a recommended decision.

2. This proceeding is a result of the Commission's rate integration policy which is designed to eliminate the distinctions in levels of charges and rate patterns between the mainland and Alaska and Hawaii. The Commission has stated that it anticipates that full implementation of rate integration will re-

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[1] *Customer Provision of Terminal Equipment*, 63 FCC 2d 202 (1976); *Terminal Equipment/Jurisdictional Separations*, 64 FCC 2d 733 (1977).

[2] The minutes of this staff meeting have been made part of the record of this proceeding. These minutes are available for public inspection in the Commission's Reference Room at its headquarters at 1919 M Street NW., Washington, D.C.

[3] The Commission's rules and regulations pertaining to rulemaking procedures apply to this Joint Board.

[4] Persons supplying data to the staff members conducting the studies herein, shall file one copy of their submissions with the Secretary of the Commission.

sult in the affected carriers participating in the division of revenues in the interstate revenue pool on the same basis as mainland companies, e.g., the recovery of their costs associated with the provision of interstate service and a rate of return. "Reconsideration of Integration of Rates and Services," FCC 77-364, released June 6, 1977. To accomplish this goal the carriers must separate their interstate costs on the basis of a prescribed methodology. Although the current Separations Manual is the basis for Alaska intrastate settlements, no methodology has been prescribed for Alaska and Hawaii interstate separations. Therefore, this Joint Board was convened pursuant to section 410(c) of the Communications Act of 1934, as amended.

3. The notice creating this Joint Board clearly pointed out the Commission's initial impression that the jurisdictional separations procedures applicable on the mainland should also pertain to the carriers providing message telephone service to Alaska and Hawaii. (FCC 77-365, para. 4.) The Commission did, however, point out that some of the affected carriers and governments expressed concerns that the existing NARUC-FCC Manual, which incorporate the "Ozark Plan" may require modification. The Joint Board does not presently have a record on which to draw any conclusions. We are instructing the staff of this Joint Board to prepare recommendations concerning what information should be obtained to develop an adequate record in this proceeding. After review of these staff recommendations, the Joint Board will adopt appropriate specific procedures to develop the record.

4. A service list will be prepared for this Joint Board proceeding. Parties who desire to file and be filed on are requested to file with the Commission a notice of intent to file and be filed on within 20 days of publication of this order in the FEDERAL REGISTER. The notice should contain the address to which service should be executed. Failure to file such a notice will not preclude any person from filing comments or replies, however, other parties who have filed such notice will not be required to file copies of their comments and replies of such persons. Unless otherwise ordered an original and 6 copies of all documents filed shall be filed in the Commission's offices, and an additional copy shall be filed with each of the State Commissioners serving as participants on this Joint Board. The service list will contain addresses for each of these Commissioners.

5. Inquiries have been addressed to the Joint Board concerning how the routine matters in this proceeding will be dealt with and whether ex parte rules apply to the Joint Board proceeding. This Joint Board was convened to prepare a recommended decision in a restricted rule making proceeding of the Commission. Since the Chief, Common Carrier Bureau is delegated broad authority in rule making proceedings before the Commission, we believe he is authorized to conduct the routine matters of this Joint Board including ruling on requests for extensions of time. In the event matters are raised requiring full Joint Board action, the Chief, Common Carrier Bureau is authorized to record the votes of the Joint Board members by means of telephone inquiry. As we previously noted, this proceeding is one phase of a restricted rule making. See § 1.1207 of the Commission's rules and regulations. Therefore, the Commission's ex parte rules apply to this Joint Board proceeding. While the Commission's rules only identify decision-making Commission personnel, the State Commissioners appointed to the Joint Board fully participate in the decision making process. Therefore, they and their designated staffs are to be considered decision-making personnel fully subject to the provisions of the Commission's ex parte rules. To avoid the possibility of an inadvertent ex parte presentation being made to the staffs of the State Commission members of this Joint Board, the State Commissioners will designate and make part of the docket file maintained at the Commission, names of those staff personnel they will utilize to assist them in this Joint Board effort. All parties are strongly encouraged to review the rules, 47 CFR §§ 1.1201-1.1251.

6. Accordingly, *it is ordered*, That any interested party may file, within 20 days of publication of this order in the FEDERAL REGISTER, a notice of intention to participate. The Joint Board shall then issue a Public Notice stating the names of parties intending to participate herein. All comments, replies, and other submissions in this proceeding shall be served on all parties listed in the Public Notice;

7. *It is further ordered*, That all participants shall file an original and six copies of all comments, replies, or other submissions with the Secretary, Federal Communications Commission and one copy with each of the State Commission members at addresses specified by them. Copies of all filings in this proceeding shall be available for public inspection during regular business hours in the Commission's Reference Room at its headquarters at 1919 M Street NW., Washington, D.C.; and

8. *It is further ordered*, That the routine matters concerning this proceeding will be dealt with by the Chief, Common Carrier Bureau. The Chief, Common Carrier Bureau is authorized to solicit and record the votes of the Joint Board via telecommunications for matters requiring Joint Board action.

FEDERAL COMMUNICATIONS COMMISSION,
VINCENT J. MULLINS,
Secretary.

[FR Doc.77-28733 Filed 9-28-77;8:45 am]

[6712-01]

[47 CFR Part 73]

[Docket No. 21404; RM-2923]

FM BROADCAST STATION IN GARBERVILLE, CALIF.

Proposed Changes in Table of Assignments

AGENCY: Federal Communications Commission.

ACTION: Notice of proposed rule making.

SUMMARY: Action taken herein proposes the assignmenit of a first FM channel to Garberville, California. Petitioner, Daniel J. Healy, states that the proposed station would provide a first local aural broadcast service to the community.

DATES: Comments must be received on or before November 7, 1977, and reply comments must be received on or before November 28, 1977.

ADDRESSES: Federal Communications Commission, Washington, D.C. 20554.

FOR FURTHER INFORMATION CONTACT:

Mildred B. Nesterak, Broadcast Bureau, 202-632-7792.

SUPPLEMENTARY INFORMATION:

Adopted: September 21, 1977.

Released: September 28, 1977.

In the matter of amendment of section 73.202(b), table of assignments, FM broadcast stations. (Garberville, California); Docket No. 21404, (RM-2923).

1. The Commission has before it a petition[1] filed by Daniel J. Healy ("petitioner"), requesting the assignment of Channel 261A to Garberville, California, as its first FM channel assignment. Channel 261A could be assigned to Garberville in conformity with the minimum distance separation requirements. No oppositions to the petition have been filed.

2. Garberville (pop. 900)[2], is an unincorporated community located some 257 kilometers (160 miles) northwest of Sacramento, California. It has no local aural broadcast service, but petitioner indicates that it receives service from Station KFMI (FM), Eureka and daytime-only AM Station KNCR, Fortuna, California.

3. Petitioner states that Garberville and the surrounding communities within fifteen miles have a population of approximately ten thousand permanent

[1] Public Notice was given of the petition on July 26, 1977, Report No. 1066.

[2] Taken from the 52nd Edition of the Rand McNally Road Atlas. Unincorporated communities under 1,000 population are not listed by the census.

residents.[2] He notes that it is a popular recreational area whose population increases to between 50,000 and 80,000 during the months of June through October. Petitioner asserts that Stations KFMI (FM) and KNCR, which serve Garberville, have specialized formats and neither station has regular news and information programming directed to Garberville and its surrounding communities. He states that persons who were interviewed in the Garberville area expressed an interest in having access to local news and general programming. Petitioner further adds that the California Highway Patrol, Forestry Service, Superintendent of Schools, and the Sheriff of Humbolt County, indicated they would welcome an outlet for information concerning road and weather conditions, camping space for summertime tourists, etc.

4. An initial review of the petition appears to indicate a need for a first local aural broadcast service in Garberville which is located in an area of California with few radio services. The proposal is being advanced for the purpose of determining whether such an assignment is warranted, however. Thus, there is a need for the petitioner to submit additional information which would assist the Commission in determining whether the proposed channel assignment would be in the public interest. Petitioner is therefore requested to submit the following information in his comments:

(a) Information which demonstrates whether Garberville in fact is a community. This information should include a description of governmental structure, and social and economic activities.

(b) Clarification of his claim that the population of the area is between 50,000 and 80,000 between the months of June and October by indicating whether these figures apply to the total population for these months or whether they apply only to a certain segment of this period. If the population data is the aggregate figure, the population that is expected during any one time period should be submitted.

(c) The 1970 United States Census Minor Civil Division of Humbolt County indicates that the Garberville Division has a population of 5,026. Petitioner should submit information as to the permanent population of the unincorporated area in which he claims Garberville is situated, the unofficial boundary of the community and the location of the community relative to any neighboring incorporated communities.

5. In view of the above, the Commission proposes to amend the FM Table of Assignments, Section 73.202(b) of the Commission's Rules, with regard to Garberville, California:

City	Channel No.	
	Present	Proposed
Garberville, Calif.		261A

6. The Commission's authority to institute rulemaking proceedings; showings required; cut-off procedures; and filing requirements are contained in the attached Appendix and are incorporated herein.

NOTE.—A showing of continuing interest is required by paragraph 2 of the Appendix before a channel will be assigned.

7. Interested parties may file comments on or before November 7, 1977 and reply comments on or before November 28, 1977.

FEDERAL COMMUNICATIONS COMMISSION,
WALLACE E. JOHNSON,
Chief, Broadcast Bureau.

APPENDIX

1. Pursuant to authority found in Sections 4(i), 5(d)(1), 303 (g) and (r), and 307(b) of the Communications Act of 1934, as amended, and Section 0.281(b)(6) of the Commission's Rules, it is proposed to amend the FM Table of Assignments, Section 73.202(b) of the Commission's Rules and Regulations, as set forth in the Notice of Proposed Rule Making to which this Appendix is attached.

2. *Showings required.* Comments are invited on the proposal(s) discussed in the Notice of Proposed Rule Making to which this Appendix is attached. Proponent(s) will be expected to answer whatever questions are presented in initial comments. The proponents of a proposed assignment is also expected to file comments even if it only resubmits or incorporates by reference its former pleadings. It should also restate its present intention to apply for the channel if it is assigned, and, if authorized, to build the station promptly. Failure to file may lead to denial of the request.

3. *Cut-off procedures.* The following procedures will govern the consideration of filings in this proceeding.

(a) Counterproposals advanced in this proceeding itself will be considered, if advanced in initial comments, so that parties may comment on them in reply comments. They will not be considered if advanced in reply comments. (See § 1.420(d) of Commission Rules.)

(b) With respect to petitions for rulemaking which conflict with the proposal(s) in this Notice, the will be considered as comments in the proceeding, and Public Notice to this effect will be given as long as they are filed before the date for filing initial comments herein. If filed later than that, they will not be considered in connection with the decision in this docket.

4. *Comments and reply comments; service.* Pursuant to applicable procedures set out in Sections 1.415 and 1.420 of the Commission's Rules and Regulations, interested parties may file comments and reply comments on or before the dates set forth in the Notiec of Proposed Rule Making to which this Appendix is attached. All submissions by parties to this proceeding or persons acting on behalf of such parties must be made in written comments, reply comments, or other appropriate pleadings. Comments shall be served on the petitioner by the person filing the comments. Reply comments shall be served on the person(s) who filed comments to which the reply is directed. Such comments and reply comments shall be accompanied by a certificate of service. (See § 1.420 (a), (b), and (c) of the Commission Rules.)

5. *Number of copies.* In accordance with the provisions of Section 1.420 of the Commission's Rules and Regulations, an original and four copies of all comments, reply comments, pleadings, briefs, or other documents shall be furnished the Commission.

6. *Public inspection of filings.* All filings made in this proceeding will be available for examination by interested parties during regular business hours in the Commission's Public Reference Room at its headquarters, 1919 M Street NW., Washington, D.C.

[FR Doc.77-28656 Filed 9-28-77;8:45 am]

[2] This figure is indicated to be the estimate given by the Garberville Postmaster.

[6712-01]

[47 CFR Part 73]

[Docket No. 21403; RM-2888]

FM BROADCAST STATION IN MANTI, UTAH

Proposed Changes in Table of Assignments

AGENCY: Federal Communications Commission.

ACTION: Notice of proposed rule making.

SUMMARY: Action taken herein proposes the assignment of a Class C channel assignment to Manti, Utah, as its first FM assignment. Petitioner, Sanpete County Broadcasting Co., states that the proposed assignment would provide a first or second FM service to a substantial area.

DATES: Comments must be received on or before November 7, 1977. Reply comments must be received on or before November 28, 1977.

ADDRESSES: Federal Communications Commission, Washington, D.C. 20554.

FOR FURTHER INFORMATION CONTACT:

Mildred B. Nesterak, Broadcast Bureau, 202-632-7792.

SUPPLEMENTARY INFORMATION:

Adopted: September 21, 1977; Released: September 28, 1977.

In the matter of amendment of section 73.202(b), table of assignments, FM broadcast stations. (Manti, Utah); Docket No. 21403, (RM-2888).

1. *Petitioner, Proposal, Comments*—(a) Notice of Proposed Rule Making is given concerning amendment of the FM Table of Assignments (Section 73.202(b) of the Commission's Rules) as it relates to Manti, Utah.

(b) Petition for rule making[1] was filed on behalf of Sanpete County Broadcasting Company ("petitioner"), licensee of AM Station KMTI, Manti, Utah, seeking the assignment of Channel 286 to Manti, Utah. No responses to the petition have been filed.

2. *Community Data*—(a) *Location.* Manti is located in Sanpete County, approximately 168 kilometers (105 miles) south of Salt Lake City, Utah.

(b) *Population.* Manti—1,803; Sanpete County—10,976.[2]

[1] Public Notice was given of the petition on May 24, 1977 (Report No. 1048).

[2] Population figures are taken from the 1970 U.S. Census.

(c) *Local Broadcast Service.* Manti currently has only one local broadcast facility, full-time AM Station KMTI, licensed to the petitioner.

(d) *Economic Data.* Petitioner states that the chief industry in Manti and surrounding area, which is substantially all of Sanpete County, is agriculture. It notes that other industry in the county includes clothing and apparel concerns, mobile homes and recreation vehicle production. Petitioner has also submitted information with respect to education, churches and recreational facilities. It states that it will apply for the channel, if assigned.

3. *Preclusion Studies.* Petitioner's preclusion study shows twenty-four communities of population greater than 1,000 located in the preclusion area created by the proposed assignment. Five of these have commercial FM stations or channel assignments. It shows that the remaining nineteen [3] have Class A or Class C channels available for assignment.

4. *Additional Considerations.* Petitioner states that there is presently no FM station operating in or serving the population of Sanpete County. It notes that the county is large in area and the communities are distributed substantially throughout the county, and it is for this reason it urges that a Class C channel must be used in order to guarantee that service can be rendered not only to Manti but to all of the populations in Sanpete County. In its Roanoke Rapids/Anamosa study it shows that a Class C station operating with effective radiated power of 25 kilowatts and antenna height of 56 meters (183 feet) would provide a first FM service to a population of 4,645 in an area of 1,378 square kilometers (532 square miles) and a second FM service to a population of 5,699 in an area of 2,793 square kilometers (1,078 square miles). A first nighttime aural service would be provided to a population of 2,845 in an area of 1,248 square kilometers (482 square miles) and a second nighttime aural service to a population of 7,500 in an area of 2,923 square kilometers (1,128 square miles).

5. Based on an examination of petitioner's proposal, there appears to be a basis for considering an exception to our general policy of assigning Class C channels only to larger communities. This has been done in other cases to provide a channel to small isolated communities when the density of the population in the area to be served is low and its distribution is scattered.

6. Accordingly, the Commission proposes to amend the FM Table of Assignments (Section 73.202(b) of the Commission's Rules) with regard to Manti, Utah, as follows:

City	Channel No.	
	Present	Proposed
Manti, Utah		286

7. The Commission's authority to institute rule making proceedings; showings required; cut-off procedures; and filing requirements are contained in the attached Appendix and are incorporated by reference herein. *NOTE:* A showing of continuing interest is required by paragraph 2 of the Appendix before a channel will be assigned.

8. Interested parties may file comments on or before November 7, 1977, and reply comments on or before November 28, 1977.

FEDERAL COMMUNICATIONS COMMISSION,
WALLACE E. JOHNSON,
Chief, Broadcast Bureau.

APPENDIX

1. Pursuant to authority found in Sections 4(i), 5(d)(1), 303 (g) and (r), and 307(b) of the Communications Act of 1934, as amended, and Section 0.281(b)(6) of the Commission's Rules, IT IS PROPOSED TO AMEND the FM Table of Assignments, Section 73.202(b) of the Commission's Rules and Regulations, as set forth in the Notice of Proposed Rule Making to which this Appendix is attached.

2. *Showings required.* Comments are invited on the proposal(s) discussed in the Notice of Proposed Rule Making to which this Appendix is attached. Proponent(s) will be expected to answer whatever questions are presented in initial comments. The proponent of a proposed assignment is also expected to file comments even if it only resubmits or incorporates by reference its former pleadings. It should also restate its present intention to apply for the channel if it is assigned, and, if authorized, to build the station promptly. Failure to file may lead to denial of the request.

3. *Cut-off procedures.* The following procedures will govern the consideration of filings in this proceeding.

(a) Counterproposals advanced in this proceeding itself will be considered, if advanced in initial comments, so that parties may comment on them in reply comments. They will not be considered if advanced in reply comments. (See § 1.420(d) of Commission Rules.)

(b) With respect to petitions for rule making which conflict with the proposal(s) in this Notice, they will be considered as comments in the proceeding, and Public Notice to this effect will be given as long as they are filed before the date for filing initial comments herein. If filed later than that, they will not be considered in connection with the decision in this docket.

4. *Comments and reply comments; service.* Pursuant to applicable procedures set out in Sections 1.415 and 1.420 of the Commission's Rules and Regulations, interested parties may file comments and reply comments on or before the dates set forth in the Notice of Proposed Rule Making to which this Appendix is attached. All submissions by parties to this proceeding or persons acting on behalf of such parties must be made in written comments, reply comments, or other appropriate pleadings. Comments shall be served on the petitioner by the person filing the comments. Reply comments shall be served on the person(s) who filed comments to which the reply is directed. Such comments and reply comments shall be accompanied by a certificate of service. (See § 1.420 (a), (b) and (c) of the Commission Rules.)

5. *Number of copies.* In accordance with the provisions of Section 1.420 of the Commission's Rules and Regulations, an original and four copies of all comments, reply comments, pleadings, briefs, or other documents shall be furnished the Commission.

6. *Public inspection of filings.* All filings made in this proceeding will be available for examination by interested parties during regular business hours in the Commission's Public Reference Room at its headquarters, 1919 M Street NW., Washington, D.C.

[FR Doc.77-28670 Filed 9-28-77;8:45 am]

[3] Nevada: McGill (pop. 2,164); Utah: Delta (1,610); Fillmore (1,411); Green River (1,033); Gunnison (1,073); Salina (1,494); Helper (1,964); Mt. Pleasant (1,516); Milford (1,304); Beaver (1,453); Nephi (2,699); Ephraim (2,127); Moab (4,793); Panguitch (1,318); Parowan (1,423); Santaquin (1,236); Kanab (1,381); Monticello (1,431); and Roosevelt (2,005).

DEPARTMENT OF TRANSPORTATION

Office of Hazardous Materials Operations

[49 CFR Parts 170–179]

[Docket No HM-145-A]

DEVELOPMENT OF REGULATIONS FOR THE TRANSPORTATION OF HAZARDOUS WASTE

Joint Public Meeting

CROSS REFERENCE: For a document concerning a public meeting to be held jointly by the Department of Transportation and the Environmental Protection Agency on the subject of rulemaking under the Resource Conservation and Recovery Act of 1976, see FR Doc. 77-28591 under the Environmental Protection Agency in the Proposed rules section of this issue.

[4910–59]

National Highway Traffic Safety Administration

[49 CFR Part 581]

[Docket Nos. 73-19, 74-11; Notices 20, 23]

BUMPER STANDARD

Damageability Requirements

AGENCY: National Highway Traffic Safety Administration, DOT.

ACTION: Notice of proposed rulemaking.

SUMMARY: This notice proposes to amend 49 CFR Part 581, Bumper Standard, to permit a limited amount of damage to filler panels and stone shields on vehicles manufactured on or after September 1, 1979. The proposed amendment is in response to petitions for reconsideration which asserted that production of filler panels and stone shields that would incur no damage during testing would be very expensive and not provide consumers with commensurate benefits.

DATES: Comments must be received on or before October 31, 1977.

EFFECTIVE DATE: The amendment would be added immediately to the text of the standard and would be effective September 1, 1979.

ADDRESSES: Comments should refer to the docket number and be submitted to: Room 5108 Nassif Building, 400 Seventh Street SW., Washington, D.C. 20590.

FOR FURTHER INFORMATION CONTACT:

Mr. Tim Hoyt, Office of Crashworthiness, Motor Vehicle Programs, NHTSA, 400 Seventh Street SW., Washington, D.C. 20590 (202-426-2264).

SUPPLEMENTARY INFORMATION: On March 4, 1976, the National Highway Traffic Safety Administration (NHTSA) published a notice (41 FR 9346) establishing a new bumper standard limiting damage to vehicle bumpers and other vehicle surfaces in low-speed crashes. Petitions for reconsideration of that notice were submitted by several motor vehicle manufacturers. General Motors (GM), Chrysler, and American Motors (AM) objected to the NHTSA's interpretation that filler panels and stone shields were exterior vehicle surfaces and therefore prohibited from experiencing damage during the prescribed test impacts. The petitioners contended that filler panels and stone shields were actually parts of the bumper system and, as such, should be permitted to sustain the same degree of damage allowed for the bumper face bar and those components that participate in its attachment to the vehicle frame.

The agency found merit in the petitioners' arguments and granted their requests in the FEDERAL REGISTER notice responding to petitions for reconsideration of Part 581 (42 FR 24056; May 12, 1977). In that notice the NHTSA categorized filler panels and stone shields as components of the bumper system that would be permitted to incur unlimited damage on vehicles manufactured from September 1, 1978, until September 1, 1979. The agency's decision was based upon assertions by petitions that bumper stroke during impact testing causes unavoidable surface scratches, abrasions, and displacements which could be eliminated only by using expensive materials and mounting techniques. Although the filler panel and stone shield material is generally sufficiently flexible to withstand impacts without permanently losing its shape, damage to the bumper face bar often results in some damage to the filler panel and stone shield. It was the agency's conclusion that permitting damage to those components would not significantly degrade the level of performance required for vehicles manufactured after September 1, 1978, primarily because filler panels and stone shields are less visible than the bumper, which is permitted to incur damage.

The May 12, 1977, notice did not make a determination regarding damage criteria for filler panels and stone shields on vehicles manufactured after September 1, 1979. It was stated in that notice that the agency would address in a future notice the application of damage criteria to those components. This notice speaks to the performance of filler panels and stone shields on vehicles manufactured after September 1, 1979.

Part 581 currently requires passenger cars manufactured after September 1, 1979, to be capable of incurring prescribed impacts without sustaining damage to vehicle surface areas other than the bumper face bar. The bumper face bar may not sustain damage exceeding ⅜ inch dent and ¾ inch set. The effect of these requirements is to prohibit damage to filler panels and stone shields while permitting limited damage to the bumper face bar. As was indicated in the May 12 notice, damage to the bumper face bar is quite likely to cause damage to the filler panel and stone shield components because of their location. Filler panels and stone shields serve as essentially cosmetic components that cover the bumper shock absorber units. Since filler panels and stone shields have low visibility and would require expensive redesign to prevent damage in low-speed impacts, the agency hereby proposes to amend Part 581 to permit damage to filler panels and stone shields on vehicles manufactured after September 1, 1979.

Two alternative damage levels are proposed. The first alternative would permit damage to filler panels and stone shields not to exceed ¾ inch from their original contours. This level of damage coincides with the amount of permanent set permitted to the bumper face bar. The other alternative would permit unlimited damage to filler panels and stone shields. Given the limitation on damage to the bumper face bar and the use of flexible plastics to avoid damage to body panels, it would appear unlikely that any significant damage would occur to the filler panels or stone shields. However, it is recognized that the stroke of the bumper during testing could cause some significant damage to those components if certain unyielding materials are used in their construction.

Commenters are asked to focus on the costs that would be associated with compliance with both of the alternatives. Specifically, the agency is interested in the cost of producing filler panels and stone shields that meet each of the alternatives and the costs that would be necessary to replace a damaged filler panel or stone shield. The amount of damage that could be expected to occur to those components during testing is also requested. In addition, manufacturers should indicate whether an amendment allowing damage to filler panels and stone shields would reduce the costs of model changeovers undertaken to comply with fuel economy requirements. If a cost reduction would be realized, we would like to be apprised of the extent of that cost savings.

The principal authors of this notice are Tim Hoyt, Motor Vehicle Programs, and Karen Dyson, Office of Chief Counsel.

In consideration of the foregoing, it is proposed that 49 CFR Part 581, Bumper Standard, be amended as follows:

§ 581.4 [Amended]

1. Section 581.4, Definitions, is amended by adding the following two definitions after the definition of "bumper face bar."

"Filler panel" means a component located between the top of the bumper face bar and the body panels that conceals and protects the components that structurally attach the bumper face bar to the chassis frame.

"Stone shield" means a component located between the bottom of the bumper face bar and the body panels that conceals and protects the components that structurally attach the bumper face bar to the chassis frame.

§ 581.5 [Amended]

2. Section 581.5(b) is amended to read as follows:

(b) *Vehicles manufactured on or after September 1, 1979.* Each vehicle manufactured on or after September 1, 1979, shall meet the damage criteria of § 581.5(c)(1) through § 581.5(c)(7), and § 581.5(c)(9) through § 581.5(c)(12), when tested in accordance with the requirements of § 581.5(a).

3. Section 581.5(c)(10) is amended to read as follows:

(10) For vehicles manufactured on or after September 1, 1979, the exterior surfaces, except for the bumper face bar, filler panel, and stone shield, shall have no separations of surface materials, paint, polymeric coatings, or other materials from the surface to which they are bonded, and no permanent deviations from their original contours 30 minutes after completion of each pendulum and barrier impact.

4. Under the first alternative, a new subparagraph (12) is added to § 581.5(c), to read as follows:

(12) Thirty minutes after completion of each pendulum and barrier impact test, the filler panel and stone shield shall have no permanent deviation greater than ¾ inch from their original contour.

Interested persons are invited to submit comments on the proposal. It is requested but not required that 10 copies be submitted. All comments must be limited not to exceed 15 pages in length. Necessary attachments may be appended to these submissions without regard to the 15-page limit. This limitation is intended to encourage commenters to detail their primary arguments in a succinct and concise fashion.

In the case of comments that contain materials for which confidential treatment is requested, those materials should be deleted from the copies submitted to the docket. A copy of the complete comments should be submitted to the Office of Chief Counsel at the above address, with an indication of which portions of the comments are the subject of the request for confidentiality.

All comments received before the close of business on the comment closing date indicated above will be considered, and will be available for examination in the docket at the above address both before and after that date. To the extent possible, comments filed after the closing date will also be considered. However, the rulemaking action may proceed at any time after that date, and comments received after the closing date and too

late for consideration in regard to the action will be treated as suggestions for future rulemaking. The NHTSA will continue to file relevant material as it becomes available in the docket after the closing date, and it is recommended that interested persons continue to examine the docket for new material.

(Secs. 103, 119, Pub. L. 89-563, 80 Stat. 718 (15 U.S.C. 1392, 1407); sec. 102, Pub. L. 92-513, 86 Stat. 947 (15 U.S.C. 1912); delegations of authority at 49 CFR 1.50 and 501.8.)

Issued on September 26, 1977.

ROBERT L. CARTER,
Associate Administrator
Motor Vehicle Programs.

[FR Doc.77-28819 Filed 9-27-77;1:00 pm]

[7035-01]

INTERSTATE COMMERCE COMMISSION

[49 CFR 1301]

[No. 36584]

LONG-AND-SHORT-HAUL AND AGGREGATE-OF-INTERMEDIATE RATES—RAILROADS

Petition Seeking Institution of Rulemaking Proceeding to Amend 49 CFR Part 1301

AGENCY: Interstate Commerce Commission.

ACTION: Notice of proposed rulemaking.

SUMMARY: The Interstate Commerce Commission is proposing a rule modifying 49 CFR 1301.75 to require that applications for Fourth Section relief in connection with joint rail-steamship international tariffs ("mini-bridge operations") be filed by the railroads rather than by steamship companies acting as agents for the railroads, as is currently the practice. This action is taken pursuant to a petition of the Ports of Houston, Galveston and New Orleans together with the Alabama State Docks Department and the State of Texas. Also, the Commission is proposing an alternative modification by issuing one outstanding order granting relief from section 4 for all departures from that section which may occur now and in the future involving "mini-bridge operations." This action is proposed on the Commission's own motion.

DATES: Comments must be received on or before October 31, 1977.

ADDRESSES: Send comments to:

Office of Proceedings, Room 5342, Interstate Commerce Commission, Washington, D.C. 20423.

FOR FURTHER INFORMATION CONTACT:

Janice M. Rosenak, Deputy Director, or Harvey Gobetz, Assistant Deputy Director, Section of Rates, Office of Proceedings, Interstate Commerce Commission, Washington, D.C. 20423 (202-275-7693).

SUPPLEMENTARY INFORMATION: A petition was filed by the State of Texas, the Alabama State Docks Department, and the Ports of Houston, Galveston, and New Orleans requesting a rulemaking to require that applications for fourth section relief in connection with joint rail-steamship international tariffs ("mini-bridge operations") be filed by the railroads themselves rather than by the steamship companies, acting as agents for the railroads, as is currently the practice. Petitioners claim that only the railroads possess the financial information to demonstrate that the rates resulting in fourth section departures will be reasonably compensatory. Since, pursuant to 49 CFR 1301.80, such a showing must be made before the necessary relief will be granted, it may be more appropriate that the railroads themselves file for the necessary permission so that the requisite financial information will be more readily available to the Commission.

The nature of "mini-bridge operations" requires numerous requests for fourth section relief. To avoid unnecessarily frequent and repetitious filings the Commission, on its own motion, proposes to issue an outstanding order granting relief for all departures from section 4 which may occur now and in the future involving "mini-bridge operations."

This notice is issued to begin a rulemaking proceeding dealing with these proposals, to inform all interested parties, and to invite relevant comment.

The proposed rules are in the alternative since the issuance of the outstanding order would obviate the necessity for the filing of individual applications for fourth section relief in connection with individual "mini-bridge" tariff publications.

§ 1301.75 [Amended]

Proposed Rule No. 1: 49 CFR 1301.75 shall be amended as follows: Petitions for fourth section relief in connection with joint rail-steamship international tariffs shall be filed by the railroad participants to the tariffs.

Proposed Rule No. 2: 49 CFR 1301.75 shall be amended as follows: Departures from section 4 involving joint rail-steamship international tariffs are approved by outstanding fourth section order number ____; provided that the application shall automatically be reopened for reconsideration whenever rates established under this order are contested, by protest (including verified complaint), or in an investigation or complaint proceeding before this Commission. The proponent of the rates will then be required to justify the granting of relief from the fourth section of the Act.

The proposed rulemaking does not appear to be a major Federal action requiring preparation of an environmental impact statement under the provisions of the National Environmental Policy Act of 1969, 42 U.S.C. 4321, et seq. However, comments regarding environmental issues, if any, should be included in statements responding to this notice.

It is ordered: 1. The petition is granted and a rulemaking proceeding is instituted to specify what carriers are required to file for fourth section relief for "mini-bridge operations." The proceeding will also consider the issuance of an outstanding order granting fourth section relief, now and in the future, for "mini-bridge operations."

2. All Class I railroads are made respondents to this proceeding.

3. Respondents and other interested persons will file an original and 15 copies (if possible) of their views at the dates and places noted above.

4. To expedite procedures and to avoid the delay and expense associated with cross-service of pleadings by parties on each other, we only require that the above views and comments be filed with this Commission, one set of which will be available in the Secretary's Office for public inspection during regular business hours of the Commission. Because this is not an adversary proceeding, the filing of replies to the views and comments is not necessary.

This notice of proposed rulemaking is promulgated under the authority of 49 U.S.C. 4 and 5 U.S.C. 553 and 559, and was adopted formally at a Session of the Interstate Commerce Commission, Division 2, held at its office in Washington, D.C. on the 20th day of September 1977.

By the Commission, Division 2, Commissioners Murphy, MacFarland, and Clapp.

H. G. HOMME, Jr.,
Acting Secretary.

[FR Doc.77-28734 Filed 9-28-77;8:45 am]

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.

[3410-11]

DEPARTMENT OF AGRICULTURE

Forest Service

ROGUE RIVER NATIONAL FOREST 10-YEAR TIMBER MANAGEMENT PLAN

Availability of Draft Environmental Statement

Pursuant to section 102(2)(C) of the National Environmental Policy Act of 1969, the Forest Service, Department of Agriculture, has prepared a draft environmental statement for the Rogue River National Forest 10-Year Timber Management Plan, USDA-FS-R6-DES (Adm)-77-14.

The environmental statement concerns a proposed revision of the current Timber Management Plan to reflect "state of the art" methods of managing the timber resource.

The draft environmental statement was transmitted to CEQ on September 21, 1977.

Copies are available for inspection during regular working hours at the following locations:

USDA, Forest Service, South Agriculture Building, Room 3210, 12th Street and Independence Avenue SW., Washington, D.C. 20013.
USDA, Forest Service, Pacific Northwest Region, 319 Southwest Pine Street, Portland, Oreg. 97204.
USDA, Forest Service, Rogue River National Forest, 333 West 8th Street, Medford, Oreg. 97501.

A limited number of single copies are available upon request to Forest Supervisor Donald H. Smith, Rogue River National Forest, P.O. Box 520, Medford, Oreg. 97501.

Copies of the environmental statement have been sent to various Federal, State, and local agencies as outlined in the CEQ guidelines.

Comments are invited from the public, and from State and local agencies which are authorized to develop and enforce environmental standards, and from Federal agencies having jurisdiction by law or special expertise with respect to any environmental impact involved for which comments have not been requested specifically.

Comments concerning the proposed action and requests for additional information should be addressed to Forest Supervisor Donald H. Smith, Rogue River National Forest, P.O. Box 520, Medford, Oreg. 97501. Comments must be received by December 20, 1977 in order to be considered in the preparation of the final environmental statement.

H. W. PARKER,
Acting Regional Environmental Coordinator, Planning, Programing, and Budgeting.

SEPTEMBER 21, 1977.

[FR Doc.77-28594 Filed 9-28-77;8:45 am]

[3410-11]

USE OF HERBICIDES IN THE EASTERN REGION

Notice of Availability of Draft Environmental Statement

Pursuant to Section 102(2)(C) of the National Environmental Policy Act of 1969, the Forest Service, Department of Agriculture has prepared a draft environmental statement on the use of herbicides in the Eastern Region, USDA-FS-R9-DES-(ADM)-77-10.

The environmental statement outlines guidelines and policies affecting the use of herbicides on National Forest System lands located in the States of Illinois, Indiana, Maine, Michigan, Minnesota, Missouri, New Hampshire, New York, Ohio, Pennsylvania, Vermont, West Virginia, and Wisconsin.

This draft environmenntal statemet was transmitted to CEQ on September 19, 1977.

Copies are available for inspection during regular working hours at the following locations:

USDA, Forest Service, South Agriculture Bldg., Rm 3231, 12th Street and Independence Ave. SW., Washington, D.C. 20250.
USDA, Forest Service, Eastern Region, 633 West Wisconsin Avenue, Milwaukee, Wis. 53203.
Allegheny National Forest, Spiridon Bldg., Warren, Pa. 16365.
Chippewa National Forest, Cass Lake, Minn. 56633.
Hiawatha National Forest, P.O. Building, Escanaba, Mich. 49829.
Mark Twain National Forest, Rolla, Mo. 65401.
Nicolet National Forest, Federal Bldg., Rhinelander, Wis. 54501.
Shawnee National Forest, 317 East Poplar Street, Harrisburg, Ill. 62946.
Wayne Hoosier National Forest, 1615 J Street, Bedford, Ind. 47421.
Chequamegon National Forest, Federal Bldg., Park Falls, Wis. 54552.
Green Mountain National Forest, Federal Building, West Street, Rutland, Vt. 05701.
Huron-Manistee National Forest, 421 South Mitchell Street, Cadillac, Mich. 49601.
Monongahela National Forest, Department of Agriculture Bldg., Sycamore Street, Elkins, W. Va. 26241.
Ottawa National Forest, Ironwood, Mich. 49938.
Superior National Forest, 236 Federal Bldg., Duluth, Minn. 55801.
White Mountain National Forest, 719 Main Street, Laconia, N.H. 03246.

A limited number of single copies are available upon request to Regional Forester, USDA-Forest Service, Eastern Region, 633 West Wisconsin Avenue, Milwaukee, Wis. 53203.

Copies of the environmental statement have been sent to various Federal, State, and local agencies as outlined in the CEQ guidelines.

Written comments are invited from the public, and from State and local agencies which are authorized to develop and enforce environmental standards, and from Federal agencies having jurisdiction by law or special expertise with respect to any environmental impact involved for which comments have not been requested specifically.

Written comments concerning the proposed action and requests for additional information should be sent to the Regional Forester at the above address. Written comments must be received by November 18, 1977, in order to be considered in the preparation of the final environmental statement.

JAMES H. FREEMAN,
Director, Planning, Programming and Budgeting.

SEPTEMBER 19, 1977.

[FR Doc.77-28684 Filed 9-28-77;8:45 am]

[3410-]

Office of the Secretary

CRIMINAL INVESTIGATORS

Authority to Administer Oaths

Pursuant to 7 U.S.C. 2217, Forest Service personnel employed as criminal investigators are hereby authorized to administer to or take from any person an oath, affirmation, or affidavit for use in any prosecution or proceeding under or in the enforcement of any law which relates to the administration and protection of the National Forest System.

BOB BERGLAND,
Secretary.

SEPTEMBER 26, 1977.

[FR Doc.77-28600 Filed 9-28-77;8:45 am]

[3510-07]

DEPARTMENT OF COMMERCE

Bureau of the Census

CENSUS ADVISORY COMMITTEE OF THE AMERICAN MARKETING ASSOCIATION

Notice of Public Meeting

Pursuant to section 10(a)(2) of the Federal Advisory Committee Act (5 U.S.C., Appendix I, (Supp. V, 1975)), notice is hereby given that the Census Advisory Committee of the American Marketing Association will convene on October 28, 1977, at 9:15 a.m. The Committee will meet in Room 2424, Federal Building 3 at the Bureau of the Census in Suitland, Md.

The Census Advisory Committee of the American Marketing Association was established in 1946 to advise the Director, Bureau of the Census, regarding the statistics that will help in marketing the Nation's products and services and on ways to make the statistics the most useful to users.

The Committee is composed of 15 members appointed by the President of the American Marketing Association.

The agenda for the meeting, which is scheduled to adjourn at 4 a.m., is:

(1) Topics of current interest at the Census Bureau, including—staff changes and Bureau organization, budget program developments, and status of programs for reduction of forms and response burden impact on the Bureau's long-range plans;

(2) Current status of 1980 census planning;

(3) Objectives of inventory surveys and program for improvement;

(4) Revised monthly business surveys—preliminary results and future plans;

(5) 1977 economic censuses:

(a) General status report,

(b) Coverage of service industries,

(c) Major retail centers program—participation of Census, and statistical areas committees, and

(d) Changes in the commodity transportation survey;

(6) Committee recommendations; and

(7) Election of chairperson-elect, selection of date, and suggestions for next meeting.

The meeting will be open to the public and a brief period will be set aside for public comment and questions. Extensive questions or statements must be submitted in writing to the Committee Control Officer at least 3 days prior to the meeting.

Persons planning to attend and wishing additional information concerning this meeting or who wish to submit written statements may contact Mr. John R. Wikoff, Chief, Business Division, Bureau of the Census, Room 2633, Federal Building 3, Suitland, Md. (mail address: Washington, D.C. 20233), telephone 301-763-7564.

Dated: September 23, 1977.

MANUEL D. PLOTKIN,
Director,
Bureau of the Census.

[FR Doc.77-28611 Filed 9-28-77;8:45 am]

[3510-07]

SURVEY OF DISTRIBUTORS' STOCKS OF CANNED FOODS

Notice of Consideration

Notice is hereby given that the Bureau of the Census is planning to conduct its annual survey of inventories, covering stocks of 30 canned and bottled products, including vegetables, fruits, juices, and fish, as of December 31, 1977. This survey, which will be conducted under the provisions of title 13, United States Code, sections 182, 224, and 225, provides the only continuing source of information on stocks of the specified canned foods held by wholesalers and in warehouses of retail multiunit organizations.

On the basis of information received by the Bureau of the Census, these data will have significant application to the needs of the public, industry and the distributive trades, as well as governmental agencies. The data are not publicly available from non-governmental or other governmental sources.

This survey, if conducted, shall begin not earlier than October 28, 1977.

Reports will not be required from all firms, but will be limited to a scientifically selected sample of wholesalers and retail multi-unit organizations handling canned foods in order to provide, with measurable reliability, year-end inventories of the specified canned food items. These stocks will be measured in terms of actual cases, with separate data requested for "all sizes smaller than No. 10" and for "sizes No. 10 or larger." (In addition, multiunit firms will be requested to update the list of their establishments maintaining canned food stocks.)

Copies of the proposed forms and a description of the collection methods are available upon request to the Director, Bureau of the Census, Washington, D.C. 20233. Any suggestions or recommendations concerning the subject matter of this survey will receive consideration if submitted in writing to the Director on or before October 28, 1977.

Dated: September 23, 1977.

MANUEL D. PLOTKIN,
Director,
Bureau of the Census.

[FR Doc.77-28612 Filed 9-28-77;8:45 am]

[3510-12]

National Oceanic and Atmospheric Administration

CARIBBEAN FISHERY MANAGEMENT COUNCIL AND ITS SCIENTIFIC AND STATISTICAL COMMITTEE AND ADVISORY PANEL

Public Meeting

The Caribbean Fishery Management Council, established by Section 302, its Scientific and Statistical Committee and Advisory Panel established by section 302(g), of the Fishery Conservation and Management Act of 1976 (Pub. L. 94-265), will meet October 18-20 at St. Thomas, Sheraton Hotel and Marina, Long Bay Road, Charlotte Amalie, St. Thomas, Virgin Islands. The meeting starts at 9:00 on October 18 and will adjourn at about noon on October 20, 1977.

Proposed Agenda—(1) Consideration of the first draft of the Fishery Management Plan (FMP) for Spiny Lobster; (2) Presentation on the Coastal Management Plans for the Commonwealth of Puerto Rico and the Territory of the Virgin Islands; (3) The Billfish Tagging Program of the Southeast Fisheries Center, NMFS; (4) Possibility of joint efforts with other Councils in the development of management plans for coastal pelagics; (5) Status of the Virgin Islands office of the Caribbean Fishery Management Council; (6) Briefing on the Coast Guard enforcement capabilities in the Council's area of jurisdiction; (7) Report on Swordfish; (8) Budget for FY 1978; (9) A Fringe Benefits Plan for Council's staff employees; and (10) Other Council and Committee Business. Meeting is open to the public. For more information on seating, changes to the agenda, or written comments, contact Mr. Omar Munoz-Roure, Executive Director, Caribbean Fishery Management Council, P.O. Box 1001, Hato Rey, Puerto Rico 00919. Telephone 809-753-4926.

Dated: September 26, 1977.

WINFRED H. MEIBOHM,
Associate Director,
National Marine Fisheries Service.

[FR Doc.77-28746 Filed 9-28-77;8:45 am]

[6170-01]

ENERGY RESEARCH AND DEVELOPMENT ADMINISTRATION

URANIUM HERAFLOURIDE

Base Charges, Use Charges, Special Charges, Table of Enriching Services; Specifications, and Packaging: Revisions

The Energy Research and Development Administration (ERDA) hereby announces revisions to the notice entitled, "Uranium Hexaflouride: Base Charges, Use Charges, Special Charges, Table of Enriching Services, Specification and Packaging", as published in the FEDERAL REGISTER on November 29, 1967, 32 FR 16289, and as amended in 34 FR 2626, February 26, 1969; 34 FR 14039, September 4, 1969; 35 FR 13457, August 25, 1971; 36 FR 4563, March 9, 1971; 36 FR 11877, June 22, 1971; 38 FR 4432, February 14, 1973; 38 FR 13593, May 23, 1973; 38 FR 21518, August 9, 1976; 38 FR 22908, August 27, 1973; 38 FR 27962, October 10, 1973; 39 FR 22182, June 20, 1974; 40 FR 1117, January 16, 1975; 40 FR 17070, April 16, 1975; 40 FR 26060 and 26061, June 20, 1975; 41 FR 8414 and 8415, February 26, 1976; 41 FR 18914 and 18915, May 7, 1976; and 41 FR 31942 and 31943, July 30, 1976; (referred to herein as the Notice).

Delete paragraphs 3 and 4 of the Notice in their entirety and substitute the following:

3. Standard table of enriching services, charges per kilogram unit of separative work, base charges and standard processing loss. (a) ERDA's standard table of enriching services is set forth in Table 1 of this Notice. (b) The charges per kilo-

gram unit of separative work furnished by ERDA and the base charge ($/kg U) for the sale of Government-owned natural uranium will be published by separate notice. (c) The base charge ($/kg U) for uranium, enriched, or depleted in the isotope U–235 and in the form of UF_6, is determined by summing the number opposite the desired assay in the Feed Component column of Table 1 multiplied by the then applicable current base charge ($/kg U) for the sale of Government-owned natural uranium in the form of UF_6 and the number opposite the desired assay in the Separative Work Component column of Table 1 multiplied by the then current charge per kilogram unit of separative work furnished pursuant to other than requirements-type contracts. The calculated base charge is rounded up to the nearest $0.01. For assays not shown in Table 1, the feed component and separative work component are first determined by linear interpolation before calculation of the base charge. Any resulting base charge less than $3.00 is increased to $3.00. The base charge for depleted uranium requested without specification as to assay is $2.50. The assay furnished by ERDA in this case will normally be in the neighborhood of 0.20 percent U–235 of which large amounts are available. (d) The standard processing loss factor to be applied to toll enricher's acquisition of tails material is 0.05 percent.

4. Use charge for material. The use charge rate for special nuclear material and other materials leased by ERDA is twelve percent (12%) per annum of the base charge or value established by ERDA for such materials.

Effective date: This notice is effective November 28, 1977.

Dated: September 21, 1977.

GEORGE W. CUNNINGHAM,
Acting Deputy Assistant Administrator for Nuclear Energy.

[FR Doc.77-28705 Filed 9-28-77;8:45 am]

[6170-01]

URANIUM HEXAFLUORIDE

Separative Work Charges, and Base Charges for Natural Uranium

The Energy Research and Development Administration (ERDA) hereby announces its separative work charges, and base charges for uranium.

1. *Separative work charges.* (a) The charge per separative work unit furnished pursuant to Requirements-type contracts is $69.80 or the ceiling charge computed in accordance with the provisions of such contracts, whichever is the lesser charge. Effective (180 days after publication of this notice in the FEDERAL REGISTER) the charge per separative work unit furnished pursuant to Requirements-type contracts at $83.15 or the ceiling charge computed in accordance with the provisions of such contracts, whichever is the lesser charge.

(b) The charge per separative work unit furnished pursuant to other than Requirements-type contracts is $74.85.

2. *Base charges for natural uranium.* (a) The base charge for natural uranium furnished on other than a short notice, one time basis is $16.10 per pound of contained U_3O_8 in the form of concentrate and $46.01 per kg in the form of UF_6.

(b) The base charge for natural uranium furnished on a short notice, one time basis is $40.30 per pound of contained U_3O_8 in the form of concentrate and $108.93 per kg in the form of UF_6.

Effective date: This notice is effective November 28, 1977.

Dated: September 21, 1977.

GEORGE W. CUNNINGHAM,
Acting Deputy Assistant Administrator for Nuclear Energy.

[FR Doc.77-28703 Filed 9-28-77;8:45 am]

[6170-01]

URANIUM SUPPLY POLICY

This Notice sets forth Energy Research and Development Administration (ERDA) policy for supplying natural uranium and enriched uranium and supersedes a previous notice concerning uranium supply policies published in the FEDERAL REGISTER on May 7, 1976, 41 FR 18914.

1. In 33 FR 12756 published on September 7, 1968, the history of uranium production in the United States is summarized, and the program under which the Atomic Energy Commission (AEC) purchased uranium concentrate (U^{308}) is described. The last U^{308} deliveries to the AEC were completed in early 1971, and as of late 1971, the AEC had about 50,000 tons of U^{308} in its stockpile.

2. For the past several years, AEC and ERDA have been furnishing enriched uranium on a "split tails" basis, which results in enriching services customers supplying less feed than that actually used to produce their enriched uranium requirements. The Government supplies, from its stockpile, the additional feed necessary for the customer's product, while a portion of the customer's cash payments constitutes payment to the Government for such additional feed used.

3. Another use of Government owned U^{308} has been to preproduce enriched uranium. AEC and ERDA have been producing enriched uranium in excess of current requirements in order to make the best use of the Government's enrichment facilities and meet future requirements for enriched uranium.

4. ERDA will continue the policy adopted by the AEC for supplying enriched uranium; namely, that the preferred method for industry to secure enriched uranium from ERDA is through toll enrichment of natural uranium obtained from private sources. However, in the circumstances set forth below, ERDA is willing to furnish Government-owned enriched uranium on a single transaction basis. ERDA may furnish enriched uranium on a single transaction basis if the quantity of enriched uranium desired is small enough that undue effort would be involved in securing material through toll enrichment or if the customer demonstrates the ERDA's satisfaction that such action is appropriate because rapid delivery is required to meet an unforeseen emergency in which all reasonable attempts have been made, without success, to procure natural uranium from commercial sources and, therefore, delivery of privately-owned natural uranium for toll enrichment is not possible. The furnishing of Government-owned enriched uranium will be subject to ERDA's determination as to the availability of such material. The amount available from ERDA will depend upon the quantities needed to meet Government and contractual requirements and the extent to which it is considered desirable to maintain a Government reserve. However, ERDA will continue to honor existing agreements for sale or lease of enriched uranium.

5. If the quantity of enriched uranium desired is small enough that undue effort would be involved in securing material through toll enrichment, Government-owned enriched uranium will be furnished pursuant to an agreement for sale of such uranium. The preferred method for ERDA to furnish enriched uranium under the emergency conditions set forth in 4 above is through an agreement for the lease of the natural uranium in the form of UF_6 contained in the feed component of the enriched uranium and for the sale of the enriching services contained in the separative work component of the enriched uranium, in accordance with the then current ERDA standard table of enriching services. ERDA will ease such material in situations where the customer has firm arrangements for the supply of natural uranium in the future. Such arrangements must indicate a delivery date of natural uranium which would permit the return to ERDA in a time frame consistent with ERDA enrichment plant operating plans of natural uranium in the form of UF_6 equivalent in amount to that contained in the feed component of the enriched uranium to be furnished by ERDA. In cases where the customer cannot obtain such firm arrangements, ERDA will furnish enriched uranium under the emergency conditions set forth in 4 above through an agreement for the sale of the natural uranium in the form of UF_6 contained in the feed component of the enriched uranium and for the sale of the enriching services contained in the separative work component of the enriched uranium in accordance with the then current standard table of enriching services.

6. The charge for any sale of Government-owned enriched uranium will be ERDA's base charge for such enriched uranium. The charge for provision of enriched uranium pursuant to an agreement to lease the natural uranium in the form of UF_6 contained in the feed component and an agreement to provide the

enriching services contained in the separative work component of such uranium will consist of two elements: a use charge applied to ERDA's base charge ($/kg U) for natural uranium in the form of UF_6 contained in the feed component of the enriched uranium and the charge per kilogram unit of separative work applicable under the enriching service agreement for the separative work units contained in the separative work component of the enriched uranium. The charge for provision of enriched uranium pursuant to an agreement to sell the natural uranium in the form of UF_6 contained in the feed component and an agreement to provide the enriching services contained in the separative work component of such uranium will consist of two elements: ERDA's base charge ($/kg U) for natural uranium in the form of UF_6 contained in the feed component of the enriched uranium and the charge per kilogram unit of separative work applicable under the enriching services agreement for the separative work units contained in the separative work components of the enriched uranium.

7. ERDA has heretofore used, as one of the bases for determining its base charges for uranium, the weighted average price of all commercial sales of natural uranium as computed from its semi-annual, "Survey of United States Uranium Marketing Activity". This average price for all such sales has, in the recent past, been markedly lower than current market prices for new sales due to the inclusion of many sales under old, fixed price contracts. Accordingly, ERDA has determined that its present policy of utilizing the weighted average price of all natural uranium sales as one of the bases in determining its base charges for uranium does not reflect true market conditions. ERDA's contractual relationships involving the furnishing of natural uranium on a "split tails" basis are long-term enrichment contracts which were executed some time in the past. ERDA's long-term customers incurred obligations at that time for delivery of natural uranium feed to ERDA and, accordingly, many of them executed long-term firm price contracts with private sector suppliers for natural uranium feed. For these customers and customers having long-term agreements with ERDA for the sale or lease of enriched uranium, a charge reflecting the weighted average price of all firm price and market price commercial natural uranium purchases is considered equitable and appropriate as a basis for determining the "split tails" component of the charge per separative work unit. ERDA stands willing to provide enriched uranium to customers on a short notice, one time basis as described in paragraphs 4 and 5 above. Had such customers been able to secure the desired material from the commercial market, they would have expected to execute a commercial contract requiring the payment of the market price at that time. For this category of customer, a charge reflecting the weighted average price of all market price commercial purchases rather than purchases under old long-term firm price commercial contracts is equitable and appropriate as a basis for determining the charge for the natural uranium in the form of UF_6 contained in the feed component of the enriched uranium provided. The base charges for providing Government-owned uranium on a short notice, one time basis will be determined by utilizing a weighted average of prices paid during the previous year for natural uranium purchased under commercial contracts requiring payment of "market price at the time of delivery".

8. The base charge for Government-owned natural uranium in the form of UF_6 will be published by separate notice.

Effective date: This notice is effective November 28, 1977.

Dated: September 21, 1977.

GEORGE W. CUNNINGHAM,
Acting Deputy Assistant Administrator for Nuclear Energy.

[FR Doc.77-28704 Filed 9-28-77;8:45 am]

[6506-01]

[FRL 799-2; OPP 50332]

ENVIRONMENTAL PROTECTION AGENCY

ISSUANCE OF AN EXPERIMENTAL USE PERMIT

Pursuant to section 5 of the Federal Insecticide, Fungicide, and Rodenticide Act (FIFRA), as amended (86 Stat. 973; 89 Stat. 751; 7 U.S.C. 136(a) et seq.), an experimental use permit has been issued to the following applicant. Such permit is in accordance with, and subject to, the provisions of 40 CFR Part 172; Part 172 was published in the FEDERAL REGISTER on April 30, 1975 (40 FR 18780), and defines EPA procedures with respect to the use of pesticides for experimental purposes.

No. 239-EUP-68. Chevron Chemical Co., Richmond, Calif. 94804. This experimental use permit allows the use of 7,152 pounds of the fungicide *cis-N*-[(1,1,2,2-Tetrachloroethyl) thio]-4-cyclohexene-1,2-dicarboximide (captafol) on potatoes to evaluate control of late and early blight. A total of 450 acres is involved; the program is authorized only in the States of Idaho, Oregon, and Washington. The experimental use permit is effective from August 22, 1977, to October 31, 1978. A permanent tolerance for residues of the active ingredient in or on potatoes has been established (40 CFR 180.267).

Interested parties wishing to review the experimental use permit are referred to Room E-315, Registration Division (WH-567), Office of Pesticide Programs, EPA, 401 M St. SW., Washington, D.C. 20460. It is suggested that such interested persons call 202-755-4851 before visiting the EPA Headquarters Office, so that the appropriate permit may be made conveniently available for review purposes. This file will be available for inspection from 8:30 a.m. to 4:00 p.m., Monday through Friday.

Statutory authority: Section 5 of the Federal Insecticide, Fungicide, and Rodenticide Act (FIFRA), as amended (86 Stat. 973; 89 Stat. 751; 7 U.S.C. 136(a) et seq.).

Dated: September 21, 1977.

DOUGLAS D. CAMPT,
Acting Director, Registration Division.

[FR Doc.77-28716 Filed 9-28-77;8:45 am]

[6560-01]

[FRL 797-5; OPP-66037]

PESTICIDE PROGRAMS

Cancellation of Pesticide Products Containing Heptachlor/Chlordane

As a result of the hearings now in progress concerning heptachlor/chlordane, certain registrations have been cancelled and applications denied. In these hearings, the Administrative Law Judge instructed the following registrants and applicants to supply, for the record, specific information. The data was to be supplied by April 5, 1977. Attorneys representing all of the party registrants informed the court that a number of these registrants or applicants had not supplied the required data by the required date.

Subsequently, an Order to File was issued April 14, 1977, in which it was ordered again that this requested data be supplied by the pertinent parties by May 9, 1977. It was stated in that order that failure to supply the information by such date would result in an Accelerated Decision as prvided for by § 164.91(a)(8) of the rules of practice (40 CFR 164.9(a)(8)). The accelerated decision has the effect of cancelling or denying the registrations and applications for registration involved in these proceedings.

A status report dated May 10, 1977, indicated that the following registrants or applicants had not responded to these communications with respect to the filing of the required data.

The issuance of an Accelerated Decision at that time in accordance with section 164.91(a)(8) of the rules of practice was appropriate. Accordingly, under the Federal Insecticide, Fungicide, and Rodenticide Act (FIFRA), as amended (86 Stat. 973, 89 Stat. 751, 7 U.S.C. 136 (a) et seq.), and these proceedings, the following registrations are cancelled and the applications are denied.

Cancellation/denial by Accelerated Decision of these products was effective May 12, 1977.

EPA Reg. No./ file symbol	Product name	Registrant/applicant
11515-GU	Lawnsect	ABC Chemical Corp., 17000 W. 8 Mile Rd., Southfield, Mich. 48075.
11515-LU	Super-Sect 55% Concentrate	
3238-TI	Standard Brand 5% Chlordane Dust.	Agrico Chemical Co., Crop Protection Chemical Division, P.O. Box 3451, Tulsa, Okla. 74101.
3238-IR	Standard Chlordane 5D	
3238-IE	Standard Chlordane 10D	
3238-IG	Standard chlordane 45	
3238-IU	Standard chlordane 72%	
5253-11	Apco 50% Chlordane Wettable	Agricultural Products Co., 589 Atwells Ave., Providence, R.I. 02909.
5253-13	Apco 6% Chlordane Dust	
255-132	Lucide A-20	American Fluoride Corp., 17 Huntington Pl., New Rochelle, N.Y. 10801.
255-133	Lucide M-46	
3735-1	Modern Roach Kontrol	Arlenge Laboratories, 175 Pearl St., Brooklyn, N.Y. 11201.
3735-2	Ant-I-Ant	
3735-18	Arlenge 72% Chlordane Insecticide Spray.	
3735-20	Arlenge 50% Chlordane Insecticide W.P.	
3735-EU	Modern Roach Kontrol	
3735-GN	Anti-Ant	
11716-R	Pestex do it yourself Pest exterminator.	Cain Chemical Co., 612 S. Munger St., Pasadena, Tex. 77502.
11716-E	Pestex	
11716-G	Presto Pest Exterminator	
607-23	CCC 6% Chlordane Dust	Carbola Chemical Co. Inc., Natural Bridge ,N.Y. 13665.
1660-2	Dro Kills Roaches	Chemical Specialties Co. Inc., 51-55 Nassau Ave., Brooklyn, N.Y. 11222.
1660-14	Dro Double Strength Coating	
1660-48	Nosect 50D bomb	
1660-54	Dro Kills Ants	
2606-3	Cornell Lyeticide	Cornell Chemical & Equipment Co., Inc., 1115 N. Rolling Rd., Baltimore, Md. 21228.
35133-R	C & C's Professional Roach Spray	Cryer Pest Control Inc., 215 S. Hiway 146, Baytown, Tex. 77520.
1203-26	Delta Foremost 4882 Bug Killer Bomb.	Delta Chemical Co., 3915 Air Park St., Memphis, Tenn. 38118.
13437-A	Du Cor Chlordane Emulsifiable Liquid Insecticide.	Du Cor Chemical Corp., P.O. Box 6086, Orlando, Fla. 32803.
4812-21	Chlormadane	Eastern Laboratories Inc., 1483 Washington Ave., P.O. Box 281, Vineland, N.J. 08360.
437-R	Eradico Antproofer	Eradico Exterminators Inc., 2285 Indiandale Ave., Detroit, Mich. 48238.
842-23	Chlordane—40% emulsifiable	G.S. Robins Co., 126 Chouteau Ave., St. Louis, Mo. 63102.
370-9	Arnold Chlordane Spray for "Arnold" garden hose sprayer.	Garden Hose Spray Co., P.O. Box 459, Route 107, Laconia, N.H. 03246.
2006-2	Goodway Insect Killer Contains Chlordane With Pyrethrins.	Good Way Insecticides Inc., 3613 N. Buffalo Grove Rd., Arlington Heights, Ill. 60004.
2006-21	Goodway Chlordane Dust 6%	
2006-29	Goodway Insect Killer (roach and ant).	
2006-42	Goodway Wasp Killer	
2006-50	Goodway Super Chlordane Dust 1%	
9962-1	Hahn's Spida-Kill	Hahn Exterminating Service, 106 N. Trimble Rd., Mansfield, Ohio 44906.
9962-2	Hahn's Bug-Begone	
6030-2	Spra-Pol Wasp and Hornet Spray	Hamilton Research, Indian Way Rural Route No. 1, Box 271, Eastham, Mass. 02642.
334-270	GCC-808 Liquid Insecticide	Hysan Corp., 919 W. 38th St., Chicago, Ill. 60604.
334-284	Slingshot Wasp and Hornet Insect Spray.	
6900-24	Dill Professional 8 No. Chlordane 73% Ems.	J. J. Dill Co., P.O. Box 788, Kalamazoo, Mich. 49005.
6900-96	Dill Turf & Ornamental 4 No. Chlordane 45% Ems.	
6900-97	Dill Turf & Ornamental 8 No. Chlordane 75% Ems.	
421-221	Chlordane Insecticide No. 3	James Varley & Sons Inc., 1200 Switzer Ave., St. Louis, Mo. 63147.
421-227	Black Widow Spider Killer	
4825-7	Killer Kane Kartridges for Ants and Other Lawn Insects.	Judd Ringer Corp., 6860 Flying Cloud Dr., Eden Prairie, Minn. 55343.
10711-8	Lawn-A-Magic "Rid-it" Brand	Lawn-A-Mat Chemical & Equipment Corp., c/o Mrs. J. N. Moline, Rockland Chemical Co. Inc., Box 204, Caldwell, N.J. 07006.
8940-2	Sup-Ro Chlordane 10% Granular Insecticide.	Lite Weight Products Inc., 707 Funston Rd., Kansas City, Kans. 66115.
8940-4	Sup-Ro Triple Action Crabgrass Killer/Fertilizer/Insecticide.	
962-242	Lacco Chloro Mulsion 8	Los Angeles Chemical Co., 4545 Ardine St., Southgate, Calif. 90280.
962-346	Dust Chlor Tox 10	
962-359	Lacco Chloro Spray 2	
962-364	Lacco Chlordane 40 WP	
962-384	Lacco Granular Chlordane 5	
1275-13	Olco 46% Emulsifiable Chlordane	Oliver Chemical Co., Inc., 2908 Spring Grove Ave., Cincinnati, Ohio 45225.
8934-45	Ring Around Brand 10% Chlordane Dust.	Ring Around Products Inc., P.O. Box 589, Montgomery, Ala 36101.
8934-46	Ring Around Brand 10% Chlordane Granular.	
8934-48	Ring Around Brand Chlordane-8 E.C.	
8934-50	Ring Around Brand 5% Chlordane Dust.	
8934-57	Ring Around Brand Fire Ant Killer 5% Heptachlor Granular.	
8934-62	Ring Around Brand 40% Chlordane (Wettable).	
8934-68	Ring Around Brand 10% Heptachlor Granular.	
8934-73	Ring Around Brand Chlordane E.C	

EPA Reg. No./ file symbol	Product name	Registrant/applicant
4876-20	Heptachlor Soil Insect Control	Seedkem Inc., A.G. Supply Co., 526 NW. 4th St., Evansville, Ind. 47708.
4876-50	Chlordane 72 E.C. Soil Insecticide	
4876-LE	Chlordane-4 E.C	
4876-LT	Chlordane-8 E.C	
491-9	Selig's Tornado Roach & Pest Killer	Selig Chemical Industries, Division of National Service Industries Inc., P.O. Box 43, Atlanta, Ga. 30336.
491-105	Selig's 46% Chlordane Water Miscible	
491-140	Fog Fourteen	
491-187	Sniper (Residual Insecticide)	
491-200	Selig's Turf-O-Sect	
6762-15	Stern Fog 50 Municipal Mosquito Fogging Concentrate.	Stern Chemical Corp., P.O. Box 5070, Monroe, La. 71201.
6762-23	Stern Fog "10" Municipal Mosquito Fogging Concentrate.	
327-47	Dr. Rogers Chlor 40	Texas Phenothiazine Co., P.O. Box 4186, Fort Worth, Tex. 76106.
327-48	Dr. Rogers 74% Chlordane EC for Agricultural use (Technical Chlordane).	
327-93	TPC Household Roach Spray	
327-96	Blue Streak Ant Bait	
327-117	TPC Wasp Jet Spray	
327-130	TPC-Hep-5 Fire Ant Killer	
327-131	TPC-Hep-10-Fire Ant Killer	
10540-1	Pex Brand Shade Tobacco Mixture with Chlordane.	The Planters Exchange Inc., Box 858, Havanna, Fla. 32333.
5340-5	King Size U.S. XXX Roach & Ant Killer Powder.	U.S. XXX Products Co., 3018 Commerce St., Dallas, Tex., 75226.
5340-6	U.S. XXX Roach and Ant Spray	
7401-12	Ferti-Lome Chlordane Garden Spray	Voluntary Purchasing Group Inc., P.O. Box 460 Bonham Tex. 75418.
7401-29	Ferti-Lome 10% Chlordane Dust	
7401-44	Ferti-Lome Bug Blaster Insect Killer	
7401-49	Ferti-Lome-Containing Chlordane for Control of Soil Insects.	
7401-100	Ferti-Lome Cricket Spray	
7401-122	Ant Killer Granules	
7401-221	Ferti-Lome Chlordane Spray	
2230-22	Diamond Ready to Use Fogging Insecticide	Warsaw Chemical Co. Inc., P.O. Box 168, Warsaw, Ind. 46580.
2230-38	62% Chlordane Concentrate	
9782-15	Chlordane Dust 10-D	Woodbury Chemical Co. of Homestead, P.O. Box 4319, Princeton, Fla. 33030.
9782-16	Chlordane 5 Dust Insecticide	
9782-RG	Heptachlor 2.5%-S	
9782-RU	Chlordane 8-E Insecticide	
9782-RT	Combination Bait	
9782-GG	Heptachlor 2.5E	

A second Accelerated Decision was issued on June 7, 1977, as a result of which the following cancellations became effective.

EPA Reg. No.	Product name	Registrant
5778-1	Chlordane 5% Dust	Gro Chemical Co., 3530 NW. 31st St., Miami, Fla. 33142.
5778-5	Chlordane 10% Dust	
5778-13	Chlordane 75% Concentrated Emulsion.	
5602-5	Hub States 45% Chlordane-45 E.C	Hub States Corp., 2002 N. Illinios St., Indianapolis, Ind. 46202.
5602-10	75% Emulsifiable Concentrate Chlordane for Termite Control.	
5602-14	Chlordane Oil Soluble Concentrate	
5602-18	Hub States Chlordane Dust Contains 5% Chlordane.	
5602-30	Heptachlor Emulsifiable	
5602-83	Hub States No Escape With Chlordane.	
5602-106	Hub States 20% Heptachlor Granules	

The June 7, 1977 Accelerated Decision was further amended to include the following products; cancellations/denials became effective June 16, 1977.

EPA Reg. No./ file symbol	Product name	Registrant/applicant
11012-R	Ezell's Ant & Insect Powder	Ezell Sales Inc., 17308 S. Woodruff Ave., Bellflower, Calf. 90706.
4931-62	Good Life Chlordane Dust 6%	Good Life Chemicol Inc., P.O. Box 687, Effingham, Ill. 62401.
4931-63	Good Life Cut 45% Chlordane Spray	
4931-101	Chlordane 8	
4931-111	Good Life Chlordane 4-E	

Sale, distribution or use of these products manufactured after July 29, 1975 is prohibited. Sale, distribution or use of existing stocks of these products beyond the effective date of cancellation constitutes an unlawful act under section 12 (a) (2) (K) and is punishable under sections 13 and 14 of FIFRA.

Comments concerning this action may be submitted in triplicate to the Federal Register Section, Technical Services Division (WH-569), Office of Pesticide Programs, EPA, Rm. 401, East Tower, 401 M St. SW., Washington, D.C. 20460. Any such submissions should bear a notation indicating both the subject and the OPP document control number "OPP-66037". Any comments or other documents filed regarding this notice of cancellation will be available for public inspection in the office of the FEDERAL REGISTER Section from 8:30 a.m. to 4 p.m. Monday through Friday.

Dated: September 22, 1977.

EDWIN L. JOHNSON,
Deputy Assistant Administrator for Pesticide Programs.

[FR Doc.77-28167 Filed 9-28-77;8:45 am]

[6506-01]

[FRL 799-3; OPP-30136]

PESTICIDE PROGRAMS

Receipt of Applications To Register Pesticide Products Containing New Active Ingredients

Applications have been submitted to the Environmental Protection Agency (EPA) to register pesticide products containing active ingredients which have not been included in any previously registered pesticide products. Notice of receipt of these applications is made in accordance with Sections 3(c)(4) of the Federal Insecticide, Fungicide, and Rodenticide Act (FIFRA) [40 CFR 162.6 (b)(6)] and does not indicate a decision by the Agency on the applications.

Any Federal agency or other interested persons are invited to submit written comments on any applications to the Federal Register Section, Technical Services Division (WH-569), Office of Pesticide Programs, EPA, Rm. 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 of others interested in inspecting them. The comments must be received on or before October 31, 1977 and should bear a notation indicating the EPA File Symbol number of the application to which the comments pertain. Comments received within the specified time period will be considered before a final decision is made with respect to the pending applications. Comments received after the specified time period will be considered only to the extent possible without delaying processing of the application. Notice of approval or denial of the applications to register pesticide products listed will be announced in the FEDERAL REGISTER. The labels furnished by each applicant as well as all written comments filed will be available for public inspection in the office of the Federal Register Section from 8:30 a.m. to 4 p.m. Monday through Friday.

Dated: August 30, 1977.

DOUGLAS D. CAMPT,
Acting Director, Registration Division.

APPLICATIONS RECEIVED

EPA File Symbol 3125-GRL. Chemagro Agricultural Division, Mobay Chemical Corp., Box 4913, Kansas City MO 64120. Croneton 4 Emulsifiable Insecticide. Active Ingredients: 2-[(ethylthio)methyl]phenol methylcarbamate 47%; Aromatic petroleum distillate 33%. Application proposes that this product be classified for restricted use for aphids on ornamentals. PM12 (202/426-9425)

EPA File Symbol 3125-GRT. Chemagro Agricultural Division, Mobay Chemical Corp. Croneton 40% Wettable Powder. Active Ingredients: 2-[(ethylthio)methyl]phenol methylcarbamate 40%. Application proposes that this product be classified for general use for the control of aphids on ornamentals. PM12 (202/426-9425)

EPA File Symbol 3125-GRA. Chemagro Agricultural Division, Mobay Chemical Corp. Croneton Technical. Active Ingredients: 2-[(ethylthio)methyl]phenol methylcarbamate 88%. Application proposes that this product be classified for general use in the manufacturing of pesticides for control of aphids. PM12 (202/426-9425)

[FR Doc.77-28715 Filed 9-28-77;8:45 am]

[6506-01]

[FRL 799-6; OPP-00047]

PESTICIDE PROGRAMS

Requirement for Certain Pesticide Registrants and Applicants for Registration to Submit Analyses of Pesticides for N-nitroso Contaminants

The Environmental Protection Agency (EPA) will shortly issue a general statement of policy concerning H-Nitroso contaminants in pesticide products. The statement in preparation will establish Agency policy in regard to data requirements on registrants and applicants for registration, regulatory options and interim standards for registered products. Chemistry data are among the requirements determined by the Agency to be necessary to assess safety of pesticides that the Agency suspects may contain N-nitroso contaminants. The chemistry data are essentially those analytical data required to verify whether those pesticides theoretically expected to contain N-nitroso contaminants do, indeed, contain them. Data requirements other than chemistry, which will be imposed on registrants and applicants as well as regulatory options exercised, wil be dependent on whether or not N-nitroso contaminants are found, by analysis, to be present in the pesticide, and the chemical identity of any N-nitroso contaminants found.

In order to avoid further delay in developing the analytical chemistry data on N-nitroso contaminants in pesticides which are prerequisite to regulatory action, the Agency is requiring by this notice that applicants and registrants of affected pesticides (as described below) submit results of analysis of these pesticides for N-nitroso contaminants. This requirement is authorized under Section 162.8(d) of the data requirements for applicants which are generally discussed in 40 CFR 162 of the registration regulations. Section 162.8(d) also authorizes the imposition of such data requirements on a case by case basis for registrants.

I. *Analytical Chemistry Program in Progress.* In February, 1977, the EPA began sampling and analysis of approximately 70-80 pesticide products in an attempt to assess the scope of N-nitroso contamination of pesticides. Pesticides to be analyzed included representatives of products containing as active ingredients triazines and dinitroanilines plus some pesticides formulated as dimethylamine salts. Over 70 product samples have already been analyzed. These analyses are scheduled for completion by September 30, 1977.

Several registrants have submitted information on the N-nitroso content of their products. The Agency examined these and other data to determine how and when N-nitroso contaminants are formed in products. In some cases, nitrosamines are formed as unavoidable contaminants created during the nitration and subsequent amination steps involved in dinitroaniline manufacture. Company data provided to the Agency indicate that modification of the manufacturing process results in significant reductions in nitrosamine content.

In other products it has been found that N-nitroso compounds may be formed by the reaction of a product ingredient with the nitrite in the formulation or in the walls of the storage container. Nitrites are commonly used as corrosion inhibitors in pesticide formulations. When nitrites are omitted from a pesticide formulation containing nitrosatable compounds, N-nitroso levels are reduced by as much as two orders of magnitude. N-nitroso contaminants have also been detected in the amines (e.g. dimethylamine) used for pesticide formulation.

II. *Affected Registrants and Applicants.* Agency chemists have examined the data obtained in the analytical chemistry program in progress. From their deliberations they have defined the range of pesticides affected by this requirement for analytical data. The requirement applies to all registrations and applications for registration of pesticide products which contain as intentionally added inert or active ingredients, or contaminants any of the following: alkylamine salts, alkanolamine salts, dinitroaniline derivatives, substituted ureas, alkyl carbamates, dithiocarbamates, amides, secondary and tertiary amines, quarternary ammonium compounds, quanidines, triazines, hydrazides and the compound phenothiazine. The requirement will also apply when a pesticide production process utilizes an alkyl- or alkanolamine as a reactant.

III. *Analytical Chemistry Data Requirements.* All registrants and applicants for registration of pesticide products in the specified categories must test these pesticides for N-nitroso contaminants theoretically expected as reaction products of ingredients listed in section II above with nitrites, nitrous acid and/or related compounds expected as an impurity from the manufacturing process of those ingredients.

Analysis of pesticides for volatile N-nitroso compounds shall be undertaken by a sensitive selective method such as GC-MS, GC-AFID, GC-Electrolytic conductivity or GC-TEA. Analyses for non-volatile N-nitroso compounds shall be undertaken by a sensitive selective method such as HPLC-UV. Positive results shall be confirmed by GC-MS when possible or by valid independent methods. Appropriate methodologies for evaluating a pesticide for N-nitroso content are available in the open literature. Several methods are listed in the Appendix below. Since a major exposure concern is for applicators and users exposed to commercial products, the chemistry studies required must be performed on a sample obtained from a container or package normally utilized to sell or distribute the product. Moreover, the sample must be taken from a container or package that has been stored for at least 180 days under conditions ordinarily associated with the distribution of the product in question. If a sample stored for at least 180 days can not be tested and the results submitted to the Agency in the time required, the chemistry studies shall be performed on two samples: an available sample and the sample stored for at least 180 days. The data from the available sample shall be made available to the Agency within a 90 day time period; the data from the stored sample, within 90 days of its having been stored for 180 days (see IV below).

IV. *Procedures.* Registrants and applicants will have 90 days from the issuance of this notice to obtain the required pesticide analyses and to submit analytical data to the Agency. Such submissions should be submitted to their Product Manager in the Registration Division, Office of Pesticide Programs. Submissions to the Agency should include, minimally, a detailed description of the analytical method(s) used, sample chromatograms, raw analytical data, age and identity of sample(s) tested and a summary of the analytical findings.

Failure to supply the information specified in this notice will result in either a denial of registration, denial of reregistration or initiation of cancellation proceedings as appropriate to the regulatory status of the pesticide in question.

V. *Public Comment.* The Administrative Procedure Act [5 U.S.C. 553(b)] provides that the solicitation of comments is not required of Federal agencies for

"interpretative rules, general statements of policy, or rules of agency organization, procedure or practice." EPA has determined that this notice falls within this exemption from the requirement to solicit public comment. Accordingly, the Agency is not directly soliciting public comment regarding matters published in this notice. However, persons affected by this notice may submit written comments to the Federal Register Section, Technical Services Division (WH-569), Office of Pesticide Programs, EPA, Rm. 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 of others interested in inspecting them. Comments filed with the FEDERAL REGISTER Section will be available for public inspection in Rm. 401 of the East Tower from 8:30 a.m. to 4 p.m. Monday through Friday. Comments should be submitted on or before October 31, 1977 and should bear the identifying document control number "OPP-00047."

Dated: September 21, 1977.

EDWIN L. JOHNSON,
Deputy Assistant Administrator for Pesticide Programs.

APPENDIX

1. Bryce, T. A., and G. M. Telling. 1972. J. Agric. Food Chem. *20*, 910.

2. Fazio, T., J. W. Howard, and R. H. White. 1971. Proceedings of the Heidelberg meeting on Nitrosamines, International Agency for Research on Cancer (IARC). Co-sponsored by IARC/WHO and German Cancer Research Center.

3. Fine, D. H., *et al.* Determination of N-nitroso Pesticides in Air, Water and Soil, presented at 172*nd* ACS National Meeting, September 2, 1976.

4. Fine, D. H., *et al.* 1976. J. Agric. Food Chem. *24*, 1069.

5. Fine, D. H., *et al.* 1976. J. Agric. Food Chem. *24*, 980.

6. Havery, D. C., D. A. Kline, E. M. Meetta, F. L. Joe, Jr., and T. Fazio. 1976. J. Assoc. Off. Anal. Chem. *59*, 540.

7. Paulframan, J. F., J. Macnab, and N. T. Croby. 1973. J. Chematography *76*, 307.

8. Telling, G. M., T. A. Bryce, and M. Althorpe. 1971. J. Agric. Food Chem. *19*, 937.

[FR Doc.28711 Filed 9-28-77;8:45 am]

[6560-01]

[FRL 794-6]

PUBLIC PARTICIPATION IN THE REGULATORY PROCESS

Invitation to Participate in the Development of Major EPA Environmental Regulations

The Environmental Protection Agency encourages participation by interested members of the public in the development of regulations. The purpose of this notice is to identify rulemaking actions now under consideration by the Agency and to invite interested parties to become involved in the decision-making process.

EPA prepares and promulgates regulations to implement environmental programs in the areas of air and water pollution abatement, drinking water protection, noise abatement, radiation protection, solid waste management, control of toxic substances, and pesticide control. These regulations include general regulations for the implementation and enforcement of major programs as well as specific emission limitations for individual industrial categories.

Regulations are developed by EPA staff and are subjected to a number of internal and public reviews prior to final approval and promulgation. In addition to the formal opportunities for comment provided when regulations are proposed in the FEDERAL REGISTER and when public hearings are scheduled, EPA encourages interested parties to contact EPA staff directly. This participation in the rulemaking process can include providing comments on a particular regulation, obtaining answers to questions, reviewing draft documents, and attending informal meetings. Significant new data and arguments that are not supplied in writing will be summarized by EPA and placed in an appropriate file.

The following list indicates the subjects for which regulations are now being considered by EPA and provides a brief description, schedule, and name of a person within the Agency to be contacted. Additional information concerning this notice or EPA's regulatory procedures may be obtained from:

Phil Schwartz, Chief, Standards and Regulations Coordination Branch, U.S. Environmental Protection Agency, Washington, D.C. 20460 (202-755-2693).

This notice will be revised periodically. A separate notice concerning the regulations being prepared to implement the Clean Air Amendments of 1977 will be published shortly. Other notices will be published after the Administrator determines that an environmental problem should be considered for rulemaking action.

Dated: September 21, 1977.

JAMES R. JANIS,
Acting Director, Standards and Regulations Evaluation Division.

MAJOR EPA REGULATIONS UNDER CONSIDERATION

NAME	DESCRIPTION	EXPECTED PROPOSAL DATE	CONTACT PERSON AND ADDRESS
THE CLEAN AIR ACT			
Lead Ambient Air Quality Standard	Development of an ambient air quality standard for lead and and appropriate reference method	December 1977	Joseph Padgett (MD-12) Environmental Protection Agency Research Triangle Park, N.C. 27711 919-541-5204 FTS 8-629-5204
Fuel Analysis Regulations for Existing Fossil Fuel-Fired Steam Generators	Establishes procedures for monitoring of sulfur dioxide emissions from existing fossil fuel-fired steam generators by analysis of the fuels combusted	November 1977	Don Goodwin (MD-13) Environmental Protection Agency Research Triangle Park, N.C. 27711 919-541-5271 FTS 8-629-5271
Revised Regulations for New and Modified Steam Generators	Emissions standards and monitoring procedures for pollutants emitted from fossil fuel and municipal waste burning generators.	January 1977	Do.
Indirect Source Regulations	Regulations for the review of planned highway and airport construction projects as indirect sources of air pollution	December 1977	Jane Mitchell (AW-445) Environmental Protection Agency Washington, D.C. 20460 202-755-0603
EPA is now revising the criteria document for photochemical oxidants. After the revision, it may be necessary to change the ambient air quality standard.			
Review of the National Ambient Air Quality Standard for Photochemical Oxidants	EPA may modify the standard on the basis of new criteria to protect community health and welfare	February 1978	John O'Connor (MD-12) Environmental Protection Agency Research Triangle Park, N.C. 27711 919-541-5355 FTS 8-629-5355
The Administrator has listed benzene as a hazardous pollutant under Section 112 of the Clean Air Act:			
National Emission Standards for Hazardous Air Pollutants: Benzene		June 1978	Don Goodwin (MD-13) Environmental Protection Agency Research Triangle Park, N.C. 27711 919-541-5271 FTS 8-629-5271
The Administrator is now considering designation of the following source categories under Section 111 of the Clean Air Act for control of air pollutants from new and modified facilities. The dates listed in this section are dates by which a decision is expected on whether to designate a particular source category; regulations may be proposed at the same time.			
Stationary Gas Turbines		September 1977	Don Goodwin (MD-13) Environmental Protection Agency Research Triangle Park, N.C. 27711 919-541-5271 FTS 8-629-5271
Stationary Internal Combustion Engines		July 1978	Do.
Non-metallic Minerals		August 1978	Do.
Glass Melting Furnaces		June 1978	Do.
The following regulations to control emissions from mobile sources of air pollution are now under development:			
Aftermarket Parts Guidelines	Guidelines establishing a program whereby after-market parts manufacturers can demonstrate that their parts do not degrade emissions when used as a replacement or add-on part	November 1977	Mike Scibinico (EN-340) Environmental Protection Agency Washington, D. C. 20460 202-755-0297

Emissions Control Defects Warranty	Regulations implementing the warranty provisions of Section 207(a) that require manufacturers to produce vehicles free from defects at the time of sale that would cause emission standards to be exceeded	December 1977	Do.
Amendment: Importation of Motor Vehicles and Motor Vehicle Engines	To improve effectiveness of regulations in preventing importation of vehicles and engines which do not conform to Federal emission standards	October 1977	Walt Talarek (EN-340) Environmental Protection Agency Washington, D.C. 20460 202-755-0944
Engine Parameter Adjustment Regulations	This amendment to the certification regulations will provide for certification testing at various engine parameter adjustments; it will help assure that emission levels measured during the certification of new motor vehicles agree with emission levels of vehicles in use	September 1977	Ernie Rosenberg (AW-455) Environmental Protection Agency Washington, D.C. 20460 202-755-0596

THE FEDERAL WATER POLLUTION CONTROL ACT

Proposed effluent guidelines are now being revised for review of best available technology in the following source categories:

Timber Products Processing	September 1978	John Riley (WH-552) Environmental Protection Agency Washington, D.C. 20460 202-426-2554
Steam Electric Power Plants	do.	John Lum (WH-552) Environmental Protection Agency Washington, D.C. 20460 202-426-4617
Leather Tanning and Finishing	do.	William Sonnett (WH-552) Environmental Protection Agency Washington, D.C. 20460 202-426-2707
Iron and Steel Manufacturing	do.	Ernest Hall (WH-552) Environmental Protection Agency Washington, D.C. 20460 202-426-2576
Petroleum Refining	do.	John Cunningham (WH-552) Environmental Protection Agency Washington, D.C. 20460 202-426-4617
Nonferrous Metals Manufacturing	December 1978	Patricia Williams (WH-552) Environmental Protection Agency Washington, D.C. 20460 202-426-2586
Paving and Roofing Materials	do.	Anthony Montrone (WH-586) Environmental Protection Agency Washington, D.C. 20460 202-755-6906
Paint and Ink Formulation	do.	David Alexander (WH-552) Environmental Protecton Agency Washington, D.C. 20460 202-426-2555

Printing and Publishing Services	December 1978	David Alexander (WH-552) Environmental Protection Agency Washington, D.C. 20460 202-426-2555
Ore Mining and Dressing	do.	Gail Coad (WH-586) Environmental Protection Agency Washington, D.C. 20460 202-426-2503
Coal Mining	do.	William Telliard (WH-552) Environmental Protection Agency Washington, D.C. 20460 202-426-2726
Organic Chemicals Manufacturing	March 1979	Lamar Miller (WH-552) Environmental Protection Agency Washington, D.C. 20460 202-426-2497
Plastics and Synthetic Material	do.	Michael Kosakowski (WH-552) Environmental Protection Agency Washington, D.C. 20460 202-426-2497
Pulp and Paper	do.	Craig Vogt (WH-552) Environmental Protection Agency Washington, D.C. 20460 202-426-2555
Rubber Processing	do.	Robert Dellinger (WH-552) Environmental Protection Agency Washington, D.C. 20460 202-426-2497
Inorganic Chemicals	March 1979	Walter Hunt (WH-552) Environmental Protection Agency Washington, D.C. 20460 202-426-2724
Textiles	do.	James Gallup (WH-552) Environmental Protection Agency Washington, D.C. 20460 202-426-2555
Soap and Detergents Manufacturing	June 1979	Sammy Ng (WH-586) Environmental Protection Agency Washington, D.C. 20460 202-426-2503
Auto and Other Laundries	do.	Richard Kinch (WH-552) Environmental Protection Agency Washington, D.C. 20460 202-426-2582
Machinery and Mechanical Products	do.	Devereaux Barnes (WH-552) Environmental Protection Agency Washington, D.C. 20460 202-426-2586
Miscellaneous Chemials--Adhesives and Sealants	do.	Elwood Forsht (WH-552) Environmental Protection Agency Washington, D.C. 20460 202-426-2707
Miscellaneous Chemicals--Explosives Manufacturing	do.	Elwood Martin (WH-552) Environmental Protection Agency Washington, D.C. 20460 202-426-2582

Miscellaneous Chemicals--Gum Wood	June 1979	Richard Williams (WH-552) Environmental Protection Agency Washington, D.C. 20460 202-426-2555
Miscellaneous Chemicals--Hospitals	do.	Donald Anderson (WH-552) Environmental Protection Agency Washington, D.C. 20460 202-426-2207
Miscellaneous Chemicals--Pesticides	do.	George Jett (WH-552) Environmental Protection Agency Washington, D.C. 20460 202-426-2555
Miscellaneous Chemicals--Pharmaceuticals	do.	Joe Vitalis (WH-552) Environmental Protection Agency Washington, D.C. 20460 202-426-2555
Miscellaneous Chemicals--Photographic Processing	do.	K. Jack Kooyoomjian (WH-552) Environmental Protection Agency Washington, D.C. 20460 202-426-2586
Miscellaneous Chemicals--Carbon Black	do.	Chester Rhines (WH-552) Environmental Protection Agency Washington, D.C. 20460 202-426-2582
Electroplating	do.	Charles Cook (WH-586) Environmental Protection Agency Washington, D.C. 204 202-426-7874

EPA is considering proposal of the following additional action under the Federal Water Pollution Control Act:

Oil Removal	Regulations establishing recommended methods and procedures for the removal of discharged oil	October 1977	Hans Crump (WH-549) Environmental Protection Agency Washington, D.C. 20460 202-245-3045

THE SAFE DRINKING WATER ACT

Amended Interim Primary Drinking Water Regulations for Trihalomethanes	Maximum contaminant levels for trihalomethanes in drinking water	September 1977	Joe Cotruvo (WH-550) Environmental Protection Agency Washington, D.C. 20460 202-755-5643
Revised National Primary Drinking Water Regulations	Regulations to establish treatment techniques or maximum contaminant levels for contaminants in drinking water	February 1978	Do.

THE NOISE CONTROL ACT

EPA will propose noise emission standards for the following products under Section 6 of the Noise Control Act:

Truck Transport Refrigeration Units	September 1977	Kenneth Feith (AW-471) Environmental Protection Agency Washington, D.C. 20460 202-557-2710
Pavement Breakers and Rock Drills	December 1977	Do.
Lawnmowers	December 1977	Do.

EPA is also preparing the following regulations for proposal under the Noise Control Act:

Importation of Noise Emitting Vehicles	Concurrent regulations by the Custom Service and EPA will govern the importation of regulated products under the Noise Control Act	November 1977	Linda Desell (EN-340) Environmental Protection Agency Washington, D.C. 20460 202-557-7406

THE FEDERAL INSECTICIDE, FUNGICIDE, AND RODENTICIDE ACT

Custom Blending of Pesticides	This regulation will provide relief from the necessity of registration for each possible combination of a specific pesticide with a fertilizer	September 1977	Dave Brandwein (WH-566) Environmental Protection Agency Washington, D.C. 20460 202-755-8030
National Pesticide Monitoring Plan	National monitoring plan is required by Section 20 to be established in cooperation with other Federal, State, and local agencies	September 1977	Robert Heath (WH-569) Environmental Protection Agency Washington, D.C. 20460 202-426-2535
Special Packaging Regulations	Establishes standards for pesticide containers in order to protect children from accidental poisoning	September 1977	Maureen Grimmer (WH-566) Environmental Protection Agency Washington, D.C. 20460 202-755-8030

EPA will repropose Pesticide Registration Guidelines which detail the information needed in the following areas for the registration process:

Chemistry		November 1977	Bill Preston (WH-568) Environmental Protection Agency Washington, D.C. 20460 202-557-7351
Hazard Evaluation: Wildlife and Aquatic Organisms		November 1977	Do.
Hazard Evaluation: Human and Domestic Animals		January 1978	Do.
Product Performance		March 1978	Do.
Label Development		May 1978	Do.

THE ATOMIC ENERGY ACT

Guidelines for Plutonium Cleanup	Guidelines for the cleanup of plutonium and other transuranium elements and restoration of contaminated areas	September 1977	Gordon Burley (AW-460) Environmental Protection Agency Washington, D.C. 20460 202-755-2890
Protective Action Guides for Nuclear Incidents	Protective Action Guides will be developed for use by Federal agencies, States and local governments in developing emergency plans for accidents at fixed nuclear facilities and for transportation of nuclear materials	January 1978	Jim Hardin (AW-460) Environmental Protection Agency Washington, D.C. 20460 202-755-2890
Federal Radiation Guidance: Implementation of "As Low As Practicable"	Guidance by which Federal agencies can implement the existing requirements that planned radiation exposure be kept as low as practicable	1978	Byron Bunger (AW-460) Environmental Protection Agency Washington, D.C. 20460 202-755-1500

Occupational Limits for Radiation Protection	EPA is considering the need for more stringent Federal radiation guidance for occupational exposure	October 1977	Luis Garcia (AW-460) Environmental Protection Agency Washington, D.C. 20460 202-755-2952
Fundamental Environmental Criteria for Radioactive Waste Management	The criteria will provide public health and environmental guidance to Federal agencies that have responsibility for developing and regulating various radioactive waste disposal alternatives	September 1977	Jim Martin (AW-460) Environmental Protection Agency Washington, D.C. 20460 202-755-4871
High Level Radioactive Waste Management	EPA standards will establish public health and environmental requirements to be met for the disposal of high-level radioactive waste	December 1977	Do.
RESOURCE CONSERVATION AND RECOVERY ACT			
Municipal Sanitary Landfill Guidelines	Guidelines under Section 1008 will address the practice of sanitary landfilling	November 1977	Bernard Stoll (AW-464) Environmental Protection Agency Washington, D.C. 20460 202-755-9116
Guidelines for Municipal Disposal of Sludge	Guidelines under Section 1008 will be developed on acceptable methods of sludge disposal	May 1978	Bruce Weddle (AW-464) Environmental Protection Agency Washington, D.C. 20460 202-755-9120
Hazardous Waste Criteria--Identification and Listing	EPA will develop criteria under Section 3001 for identifying which substances are hazardous for the purposes of the hazardous waste management provisions of the Act	January 1978	Alan Corson (AW-465) Environmental Protection Agency Washington, D.C. 20460 202-755-9187
Notification System for Hazardous Waste Generators, Transporters, Storers, and Disposers	Regulations will establish procedures for notification of EPA, or of a State having an approved program under Section 3006, concerning the identification, location, and general description of hazardous wastes, by transporters, storers, treaters, and disposers	September 1977	Timothy Fields (AW-465) Environmental Protection Agency Washington, D.C. 20460 202-755-9203
Standards for Transporters of Hazardous Wastes	Regulations under Section 3003 will make transporters responsible for recordkeeping, transportation to approved facilities, and compliance with the manifest system for hazardous wastes	November 1977	Harry Trask (AW-465) Environmental Protection Agency Washington, D.C. 20460 202-755-9187
Standards for Owners and Operators of Hazardous Waste Treatment Storage and Disposal Facilities	National performance standards for facility owners and operators under Section 3004 will apply to recordkeeping, reporting and monitoring, compliance with operating practices, location and design, contingency plans, and facility maintenance	January 1978	William Sanjour (WH-465) Environmental Protection Agency Washington, D.C. 20460 202-755-9200
Public Participation Guidelines	Provides mechanisms for public participation in the development, promulgation, revision, implementation, or enforcement of regulations, guidelines, information or programs authorized by the Resource Conservation and Recovery Act	September 1977	Geraldine Wyer (AW-462) Environmental Protection Agency Washington, D.C. 20460 202-755-9157

Permits for Hazardous Waste Treatment, Storage, and Disposal Facilities	To provide a mechanism to assure uniform control by States (or EPA) over hazardous waste facilities, including maintenance of data for compliance monitoring and enforcement	December 1977	Sam Morekas (AW-465) Environmental Protection Agency Washington, D.C. 20460 202-755-9190
Guidelines: State Hazardous Waste Programs	Guidelines to assist States in developing hazardous waste programs authorized under Section 3006	October 1977	Murray Newton (AW-465) Environmental Protection Agency Washington, D.C. 20460 202-755-9190
Guidelines: State Solid Waste Programs	Regulations under Section 4002(b) will contain guidelines to assist in the development and implementation of State solid waste management plans	October 1977	Burnell Vincent (AW-464) Environmental Protection Agency Washington, D.C. 20460 202-755-9125
Criteria: Classification of Disposal Facilities	Regulations will provide criteria for determination of which solid waste disposal facilities shall be classified as sanitary landfills and which shall be classified as open dumps	October 1977	Kenneth Shuster (AW-464) Environmental Protection Agency Washington, D.C. 20460 202-755-9116
Guidelines: Procurement Practices	Guidelines will assist government procurement agencies in complying with the requirements of Section 6002(e) for procurement of products with the highest practicable percentage of recovered materials	October 1978	Stephen Lingle (AW-463) Environmental Protection Agency Washington, D.C. 20460 202-755-9140

TOXIC SUBSTANCES CONTROL ACT

Testing of Chemical Substances and Mixtures	Section 4 authorizes EPA to require testing in order to obtain data on health and environmental effects; an interagency committee will recommend testing priorities; its initial report is due 10/77	N/A	James Beall (WH-557) Environmental Protection Agency Washington, D.C. 20460 202-755-8942
Premarket Notification	Section 5 requires manufacturers and processors to submit notification before manufacturing new chemicals for commercial purposes and before manufacturing or processing chemicals for significant new uses; exact timetable for rulemaking is not certain	N/A	Cindy Kelly (WH-557) Environmental Protection Agency Washington, D.C. 20460 202-755-4880
Chlorofluorocarbons--Discharge to the Atmosphere	This phase of rulemaking on chlorofluorocarbons will deal with non-aerosol uses, including refrigerant uses	July 1978	George Wirth (WH-557) Environmental Protection Agency Washington, D.C. 20460 202-755-6179
Polychlorinated Biphenyls (PCB's)	This phase of rulemaking will implement the statutory phase-out of production and use of PCB's	October 1977	Do.
Reporting and Retention of Information	Section 8(c) and (d) requires the manufacturers, processors, and distributors of chemical substances to keep records of significant adverse reactions to health or the environment and to submit health and safety studies; section 8(e) requires an immediate notification to the Administrator of any information indicating that the chemical may pose a substantial risk to health or the environment	December 1977	Ed Brooks (WH-557) Environmental Protection Agency Washington, D.C. 20460 202-755-8043

The regulations listed below have already been proposed and appear in the Federal Register issue of the date indicated. Please send any substantive comments to the public comment file according to the information appearing in the preamble of the published regulation. Inquiries as to status of these regulations can be directed to the EPA contact persons listed for each regulation.

NAME	DESCRIPTION	DATE IN FR	COMMENT PERIOD CLOSING DATE	CONTACT PERSON AND ADDRESS
Short Test for Emissions Control Warranty	Development of testing methods for exhaust emissions of in-use light duty vehicles and light duty trucks to determine whether they exceed applicable emission standards	5/25/77	10/7/77	Ernest Rosenberg (AW-455) Environmental Protection Agency Washington, D.C. 20460 202-755-0596
Emissions Control (Performance) Warranty	Regulations specifying a short-cycle emissions test for in-use vehicles to determine whether warranty repair by the manufacturer is required	5/25/77	10/7/77	Mike Scibinico (EN-340) Environmental Protection Agency Washington, D.C. 20460 202-755-0297
Testing Retrofit Devices for Fuel Economy Performance	Provides for EPA evaluation of manufacturers' claims for fuel economy retrofit devices	8/10/77	11/8/77	Ernie Rosenberg (AW-455) Environmental Protection Agency Washington, D.C. 20460 202-755-0596
Classification of Pesticides for Special Use	EPA will classify a significant number of pesticides as special pesticides under Section 3(d)	9/1/77	10/3/77	Jim White (WH-570) Environmental Protection Agency Washington, D.C. 20460 202-755-8297
Wheel and Crawler Tractor Noise	Noise emission standards for new wheel and track dozers	6/11/77	9/30/77	Kenneth Feith (AW-471) Environmental Protection Agency Washington, D.C. 20460 202-557-2710
Truck-Mounted Solid Waste Compactor Noise	Noise emission standards for new truck-mounted solid waste compactors	8/26/77	11/25/77	Do.

[FR Doc.77-28165 Filed 9-28-77;8:45 am]

[6506-01]

[FRL 799-5; OPP-180150]

STATE OF LOUISIANA

Issuance of a Specific Exemption To Use 2,4-D To Control Sesbania on Soybeans

The Environmental Protection Agency (EPA) has granted a specific exemption to the State of Louisiana (hereafter referred to as the "Applicant") to use a dimethylamine salt of 2,4-D for the control of sesbania on 60,000 acres of soybean plants. This exemption was granted in accordance with, and is subject to, the provisions of 40 CFR Part 166, which prescribes requirements for exemption of Federal and State agencies for use of pesticides under emergency conditions.

This notice contains a summary of certain information required by regulation to be included in the notice. For more detailed information, interested parties are referred to the application on file with the Registration Division (WH-567), Office of Pesticide Programs, EPA, 401 M Street SW., Room E-315, Washington, D.C. 20460.

According to the Applicant, the weed sesbania (*Sesbania exaltata* or *Sesbania macrocarpa*) may significantly reduce the yield of the soybean crop on 60,000 acres in 48 parishes in Louisiana. In most previous years, satisfactory weed control has been obtained by using preplant incorporated, preemergence, and overtop herbicides. However, the Applicant stated that when high rainfall occurs, which causes dissipation of herbicides and greater weed germination, sesbania emerges through the soybean canopy and, without additional control measures, may reduce yield 50 percent or more. Yield reduction occurs as a result of the weeds taking fertilizer and water away from the soybeans, from shading resulting in the lack of adequate amounts of sunlight and by excessive harvest losses. The Applicant stated that the occurrence of this pest is particularly severe this year in portions of the rice and sugarcane producing areas of south Louisiana. The overtop sprays 2,4-DB (Butoxone and Butyrac) and Basagran are being used to control sesbania prior to bloom stage of soybean plants; however, research conducted by Louisiana State University indicates that these products will not control sesbania in Louisiana that has emerged through soybean canopy.

The Applicant will use a single application of 2.4-D by air as an overtop foliage spray on 60,000 acres of soybeans in the 48 parishes affected. The herbicide will be applied at the rate of four to eight ounces of a four pound per gallon active ingredients, amine 2.4-D per acre. The herbicide will be applied in three to five gallons of water per acre. This is equivalent to one-eighth to one-quarter pound of 2.4-D acid equivalent per acre applied as the amine salt. In order to obtain maximum results and prevent yield reduction and excess residues in harvested beans, two conditions are necessary: the sesbania canopy cover must be approaching 100 percent, and the stage of maturity of the bean must be after pod set and before beans can be felt in the pod. Best control will be obtained if the weeds are sprayed when in full bloom. Soybeans are more tolerant to the herbicide and sesbania is more sensitive to the herbicide when the above conditions exist.

All aerial applications will be made by certified applicators who are licensed by the Louisiana Department of Agriculture. To prevent damage to other susceptible crops in the area of application, special permission will be obtained from the Commissioner of the Louisiana Department of Agriculture for the use of 2.4-D, except in the southwestern part of the State where cotton is not grown.

It appears that income derived from soybeans is very important to Louisiana farmers. Because of the low prices farmers are receiving for rice, many of them are more dependent than usual on income from soybeans. According to the Applicant unless 2,4-D can be applied, the average yield on the 60,000 acres of soybean plants infested with sesbania may be reduced by approximately 10 bushels per acre. At $6.00 per bushel, this represents a dollar loss of $3,600,000.

After reviewing the application and other available information, EPA has determined that (a) a pest outbreak of sesbania has occurred; (b) there is no pesticide presently registered and available for use to control sesbania in soy-

bean fields in Louisiana; (c) there are no alternative means of control, taking into acount the efficacy and hazard; (d) significant economic problems may result if the sesbania is not controlled; and (e) the time available for action to mitigate the problems posed is insufficient for a pesticide to be registered for the use. Accordingly, the Applicant has been granted a specific exemption to use the pesticide noted above October 15, 1977 to the extent and in the manner set forth in the application. The specific exemption is also subject to the following conditions:

1. A dimethylamine salt of 2,4-D will be applied at the rate of from one-eighth to one-quarter pound 2,4-D acid equivalent per acre;

2. An overtop foliage, aerial application will be limited to 60,000 acres in 48 parishes listed below;

3. Aerial application will be made by certified applicators licensed by the Louisiana Department of Agriculture;

4. The total quantity of 2,4–D to be applied will not exceed 15,000 pounds of active ingredient;

5. Applications will be limited to the following 48 parishes: Acadia, Allen, Ascension, Assumption, Avoyelles, Beauregard, Calcasieu, Caldwell, Cameron, Catahoula, Concordia, East Baton Rouge, East Carroll, East Feliciana, Evangeline, Franklin, Grant, Iberia, Iberville, Jefferson Davis, Lafourche, Lafayette, Livingston, Madison, Morehouse, Natchitoches, Quachita, Pointe Coupee, Rapides, Red River, Richland, Sebine, St. Charles, St. Helena, St. James, St. John the Baptist, St. Landry, St. Martin, St. Tammany, Tangipahoa, Tensas, Terrebonne, Vernon, Vermilion, Washington, West Carroll, West Baton Rouge, and West Feliciana;

6. Special permission will be obtained from the Louisiana Department of Agriculture for all applications in restricted areas;

7. Soybeans with residue levels not exceeding 0.75 ppm (part per million) of 2,4–D may be offered in interstate commerce. The Food and Drug Administration, U.S. Department of Health, Education, and Welfare, has been advised of this action;

8. The herbicide 2,4-D should not be applied unless sesbania is present to the extent that it will cause harvesting problems or it is approaching 100 percent canopy;

9. A thirty-day intervals for grazing cattle on treated soybean fields will be observed;

10. The State of Louisiana will obtain chemistry residue data in support of a tolerance for 2,4-D on soybeans;

11. The EPA shall be immediately informed of any adverse effects resulting from the use of this pesticide in connection with this exemption;

12. Precautions will be taken to avoid or minimize spray drift to non-target areas; and

13. Applications will not be made to any body of water.

Statutory authority: Section 18 of the Federal Insecticide, Fungicide, and Rodenticide Act (FIFRA), as amended (86 Stat. 973; 89 Stat. 751; 7 U.S.C. 136(a) et seq.).

Dated: September 23, 1977.

EDWIN L. JOHNSON,
Deputy Assistant Administrator for Pesticide Programs.

[FR Doc.77-28712 Filed 9-29-77;8:45 am]

[6506–01]

[FRL 799–1; OPP–42014C]

STATE OF MONTANA

Amendment to State Plan for Certification of Commercial and Private Applicators of Restricted Use Pesticides

Section 4(a)(2) of the Federal Insecticide, Fungicide and Rodenticide Act (FIFRA), as amended (86 Stat. 973; 7 U.S.C. 136 et seq.), and the implementing regulations of 40 CFR Part 171, require each state desiring to certify applicators of restricted use pesticides to submit a plan for that purpose, subject to approval by the Environmental Protection Agency (EPA), and maintain that plan as approved. Notice of approval of the Montana State Plan was published in the FEDERAL REGISTER on December 13, 1976 (41 FR 54214). Subsequently, on June 13, 1977, Montana requested that EPA approve an amendment to the State Plan that reflects amendments to the Montana Pesticides Act. These amendments cover 4 areas: (1) The sections listing the procedures to be followed when instituting enforcement actions were deleted because they duplicated the State Administrative Procedures Act; (2) The Montana Department of Agriculture's duties and responsibilities when conducting an inspection were more clearly stated; (3) The standards for private applicator certification were taken from the regulations unchanged and incorporated into the law; and (4) The options for qualifying for certification by private applicators were changed by adding another option which allows qualification by completion of an approved training course. Completion is determined by the applicator taking an ungraded quiz or by trainee feedback to the instructor.

The amendments do not change the design or operation of the Montana applicator certification program but only serve to make clear the procedures, responsibilities, and requirements of the program. These amendments are not considered to be so substantial that they should be published as a proposal. Therefore, the Regional Administrator, EPA Region VIII, gives notice that the Montana State Plan as amended is approved.

Dated: September 20, 1977.

ALAN MERSON,
Regional Administrator, Region VIII.

[FR Doc.77-28720 Filed 9-28-77;8:45 am]

[6506–01]

[FRL 799–4; OPP–180148]

WASHINGTON STATE DEPARTMENT OF AGRICULTURE

Issuance of a Specific Exemption To Use TEPP To Control Twospotted Spider Mite on Hop Crop

The Environmenal Protection Agency (EPA) has granted a specific exemption to the Washington State Department of Agriculture (hereafter referred to as the "Applicant") to use TEPP (tetraethyl pyrophosphate) for the control of twospotted spider mites which are threatening the commercial hop crop in three (3) counties in Washington. This exemption was granted in accordance with, and is subject to, the provisions of 40 CFR Part 166, which prescribes requirements for exemption of Federal and State agencies for use of pesticides under emergency conditions.

This notice contains a summary of information required by regulation to be included in the notice. For more detailed information, interested parties are referred to the application on file with the Registration Division (WH–567), Office of Pesticide Programs, EPA, 401 M St. SW., Room E–315, Washington, D.C. 20460.

According to the Applicant, the twospotted spider mite (*Tetranychus urticae* Koch) is normally present in Washington hop yards. Current climatic and growing conditions are ideal for pest population buildup now. Although several miticides are registered for use on hops, Washington State University entomologists alleged that none of the registered miticides were viable options for one or more of various reasons: (1) the spider mites were resistant to the other miticides; (2) aerial applications were precluded because of ineffectiveness or labeling restrictions; and/or (3) the required preharvest interval excluded application at the time required. Ground pesticide applications were not feasible because of possible damage to hop foliage, lodged hops, and irrigation equipment. According to the Applicant, TEPP has prevented economic damage to the commercial hop crop by this pest in previous years.

The Applicant requested permission to treat the 20,000 acre commercial hop crop with two (2) pounds of actual TEPP per acre in a single aerial application; application will be limited to Yakima, Benton, and Pierce counties. The pesticide will be applied by State licensed commercial applicators under the Applicant's supervision. A three-day preharvest interval will be maintained.

The State of Washington produces about 71% of the national hop crop; the Applicant stated that the potential economic loss from a major outbreak of the twospotted spider mite could reach $10,000,000, representing one-third of Washington hop production and 20% of the United States' pro-

duction. The Applicant cited the following factors which contribute to relatively low probability of exposure of man to harmful residues of TEPP from hops: (1) raw hops are never consumed by humans and hops are kiln-dried following harvest; (2) one-fourth pound of hops is added to each thirty-one (31) gallons of beer, a 1:1,000 dilution by weight; (3) fermentation in the brewing vats results in additional breakdown of pesticide residues; and (4) a two-pound application on hops presents less residue potential to humans than applications on six other food crops which have tolerances of 0.01 ppm. The dilution of 1 to 1,000 would allow establishment of a tolerance adequate to protect human health. The Applicant further stated that all data reviewed indicated no residue transfer from 3-day preharvest interval to finished beer.

However, TEPP exhibits acute toxicity to fish and wildlife species, especially avian species. The Office of Endangered Species, U.S. Department of the Interior, has reported that the American Peregrine Falcon (*Falco peregrinus anatum*), an endangered species, is endemic within the three counties proposed for treatment.

After reviewing the application and other available information, EPA has determined that (a) a pest outbreak of two-spotted spider mites has or is about to occur; (b) there is no pesticide presently registered and available for use to control the two-spotted spider mite in Washington State; (c) there are no alternative means of control, taking into account the efficacy and hazard; (d) significant economic problems may result if the two-spotted spider mites are not controlled; and (e) the time available for action to mitigate the problems posed is insufficient for a pesticide to be registered for this use. Accordingly, the Applicant has been granted a specific exemption to use the pesticide noted above until September 30, 1977, to the extent and in the manner set forth in the application. The specific exemption is also subject to the following restrictions:

(1) Aerial applications of TEPP are limited to one (1) at the rate of two (2.0) pounds of active ingredient per acre;

(2) Total acreage treated shall not exceed 20,000 acres;

(3) A maximum of 40,000 pounds of actual TEPP will be applied;

(4) Treatment area is limited to the three counties listed in this notice;

(5) A three-day preharvest interval will be observed;

(6) The Applicant is responsible for monitoring aerial applications of TEPP;

(7) Liaison shall be established among the Washington State Departments of Agriculture, Fisheries and Game to minimize any adverse effects on fish and wildlife resources;

(8) The EPA shall be immediately informed of any adverse effects resulting from the use of this pesticide in connection with this exemption;

(9) All applicable directions, restrictions and precautions on the EPA-registered label will be observed;

(10) All precautions will be taken to avoid or minimize spray drift to nontarget areas; and

(11) Hops with residue levels not exceeding 0.1 ppm of TEPP may be offered in interstate commerce. The Food and Drug Administration of the U.S. Department of Health, Education, and Welfare has been advised of this action.

Dated: September 26, 1977.

EDWIN L. JOHNSON,
Deputy Assistant Administrator for Pesticide Programs.

[FR Doc.77-28713 Filed 9-28-77;8:45 am]

[6712-01]

FEDERAL COMMUNICATIONS COMMISSION

[Docket No. 21402; FCC 77-653]

AMERICAN TELEPHONE AND TELEGRAPH COMPANY (LONG LINES DEPARTMENT); WIDE AREA TELECOMMUNICATIONS SERVICES (WATS)

Inquiry

AGENCY: Federal Communications Commission.

ACTION: Notice.

SUMMARY: Inquiry to determine if American Telephone and Telegraph Company's (AT&T) interstate Wide Area Telecommunications (WATS) services are "like" or "unlike" services to AT&T's interstate Message Telecommunications Services (MTS) within meaning of section 202(a) of the Communications Act of 1934, which prohibits unjustified discriminations in rates, practices, etc. applicable to "like" services. Inquiry follows a prior Commission action where AT&T had failed to justify rates applicable to WATS services in relation to MTS services.

DATES: Comments must be received on or before November 4, 1977, and reply comments on or before November 25, 1977.

ADDRESSES: Federal Communications Commission, Washington, D.C. 20554.

FOR FURTHER INFORMATION CONTACT:

Mr. Daniel J. Harrold, Common Carrier Bureau, (202-632-6917).

SUPPLEMENTARY INFORMATION:

Adopted: September 21, 1977.

Released: September 26, 1977.

By the Commission: 1. In our Memorandum Opinion and Order, FCC 77-529, adopted July 21, 1977 and released August 12, 1977, (WATS Order) we rejected American Telephone and Telegraph Company's (AT&T) proposed WATS tariff provisions filed on April 29, 1977 under Transmittal No. 12745 for reasons given at paras. 120 and 121 therein and directed AT&T to file a revised WATS tariff consistent with our Order. We also indicated at paras. 42-49 our intention to institute an inquiry into the legal question of whether Outward and Inward WATS services respectively, are "like" or "unlike" services to Message Telecommunications Services (MTS) within the meaning of section 202(a) of the Act. 47 USC 202(a).

2. In addressing this subject in our WATS Order, we stated with respect to Outward WATS at para. 46:

> The showing made in this filing is insufficient to convince us the Outward WATS and MTS are not "like services," in which case any difference in rates must be justified under section 202(a) of the Act. Besides the differences between the services enumerated above, there are many significant similarities. For example, the same technology is used to provide MTS DDD and Outward WATS services and once an MTS or Outward WATS call enters the network, they are indistinguishable. Cf. DDS, 62 FCC 2d at 796. Indeed, when Outward WATS and MTS services are used in conjunction with a "WATS box," i.e., arranged in rotary such that the "box" chooses between WATS and MTS lines on the basis of availability or economy no difference exists between the two services except rates. Moreover, it appears that the primary basis for customer preference for WATS appears to be the substantial cost savings which results from the lower unit tariff charge for Outward WATS calls. Cf., DDC, 62 FCC 2d at 796. The formal pleadings, comments and letters received from WATS subscribers repeatedly emphasize the cost savings they obtain from WATS services vis-a-vis MTS and other services, and that this fact initially induced them to secure Outward WATS to replace some of their MTS lines. Further, the WATS business market studies submitted in this filing demonstrate that the primary reason given by customers for starting WATS services is economy in the customer's total communications bill. See Volume 51 of Justification, pp. 2-24 and 2-25. This is also shown in this filing by the cross-elasticity between MTS and Outward WATS which is described as "pronounced."

3. About Inward WATS at para. 48 we stated:

> To some extent, our discussion above may apply to Inward WATS as well. On a tentative basis, it appears that Inward WATS and MTS could possibly be considered "like services" subject to Section 202(a), although we cannot make such a finding from the record before us. There appear to be no functional differences between Inward WATS and MTS calls as they traverse the network, and in Inward WATS, even more so than in Outward WATS, the customer's preference for the service appears to be based in large part on cost savings to him vis-a-vis MTS operator-assisted collect, station-to-station and other MTS calls, With respect to costs, it is important that Bell itemize and quantify on an embedded cost basis consistent with Docket No. 18128 all costs or alleged cost savings associated with its provision of Inward WATS service. Presently, as admitted in the filing, there is much network congestion caused by Inward WATS services. These additional and other costs, or alleged cost savings such as in billing, must be itemized and quantified. (Footnote omitted.)

4. At para. 49 of our WATS Order, we further stated:

> If Bell should choose to justify Inward WATS and Outward WATS, respectively, as "unlike" services from MTS, we expect a

showing to be made, among other things, that customers perceive the services primarily as different from other services in terms of capability of being used for different communications needs and not as replacement services. A mere segmentation of the market, e.g., as discussed at paras. 53–54 below, through lower charges to the customer for one service or another would appear to be insufficient. Also, consideration must be given to whether the two services, in fact, satisfy different communications requirements, regardless of any rate differentials which may exist. This showing must be made separately for Inward and Outward WATS vis-a-vis other services. Further, Bell should show that Institutional demand by public switched network business customers (MTS and WATS) is, in fact, price sensitive by time of day and thus network peaks could be shifted by offering discounted WATS services. If not, then it would seem that there may be less justification for offering discounted public switched network services. We note that irrespective of whether we find Outward and Inward WATS services, respectively, to be "like" or "unlike" MTS, any rates or rate structures submitted must be shown to be just and reasonable within the meaning of section 201(b) of the Act.

5. In order to resolve the legal issue of whether Outward and Inward WATS, respectively, should be considered "like" or "unlike" services to MTS within the meaning of section 202(a) of the Act we are soliciting comments from all interested parties on this question. An additional round of reply comments will be permitted. If the comments filed indicate an oral argument en banc on this question may also be useful we shall provide for such argument in a subsequent order. This proceeding shall be restricted proceeding, conducted under 47 CFR 1.7201 et seq., and our Decision will be based on matters submitted for or incorporated into the record herein. Also, we note that in the past what constitutes a "like" or "unlike" service has been determined primarily on a case-by-case basis. See, e.g., Hi-Lo, 55 FCC 2d 224, 231 (1975), and DDS, 62 FCC 774, 795–97 (1977). It is our hope that this proceeding may result in the establishment of general standards or criteria to aid in the determination in future cases of what may be "like" or "unlike" services within the meaning of section 202(a). Therefore, we expect filing parites to also address their comments to this more general definitional question as well.

6. Accordingly, *it is ordered*, That pursuant to sections 4(i), 4(j), 202(a) and 403 of the Communications Act of 1934, as amended, 47 U.S.C. 154(i), 154(j), 202(a), 403, an inquiry is instituted into the following issues:

(a) Whether Outward and Inward WATS services, respectively, contitute "like services" to MTS services within the meaning of section 202(a) of the Act; and

(b) Upon what specific standards, criteria or showing by the advocating carrier should the Commission rely in future cases in determining whether or not two or more communications services are "like" or "unlike" within the meaning of section 202(a) of the Act.

7. *It is further ordered*, That AT&T is named Party Respondent herein;

8. *It is further ordered*, That any interested persons may participate herein by filing Comments on the above issues on or before November 4, 1977, and Reply Comments on or before November 25, 1977.

9. *It is further ordered*, That the Secretary of the Commission shall cause a copy of this Notice of Inquiry to be published in the FEDERAL REGISTER;

10. *It is further ordered*, That an original and 5 copies of all comments and replies shall be filed with the Commission.

11. *It is further ordered*, That pursuant to Section 1.1207 of the Commission's Rules, 47 CFR 1.1207, this proceeding shall be conducted pursuant to the Commission's ex parte rules, 47 CFR 1.1201 et seq.

FEDERAL COMMUNICATIONS COMMISSION.
VINCENT J. MULLINS,
Secretary.

[FR Doc.77-28671 Filed 9-28-77;8:45 am]

[6712-01]

[Docket No. 21398; File No. BR-4373; FCC 77-647]

DEER LODGE BROADCASTING, INC.

Order and Notice of Apparent Liability Designating Application for Hearing on Stated Issues

Adopted: September 15, 1977.

Released: September 26, 1977.

In re application of: Deer Lodge Broadcasting, Inc., for renewal of license for radio station KDRG, Deer Lodge, Mont. (Docket No. 21398, File No. BR-4373).

1. The Commission has before it for consideration the above captioned application and its inquiries into the operation by Deer Lodge Broadcasting, Inc., of Station KDRG, Deer Lodge, Mont.

2. Information before the Commission raises serious questions concerning whether the captioned applicant possesses the qualifications to be or to remain a licensee of the captioned station. In view of these questions, the Commission is unable to find that a grant of the renewal application would serve the public interest, convenience and necessity, and must, therefore, designate the application for hearing.[1]

3. Accordingly, *It is ordered*, That the captioned application is designated for hearing pursuant to section 309(e) of the Communications Act of 1934, as amended, at a time and place specified in a subsequent Order, upon the following issues:

(a) Whether in light of all the facts and circumstances pertaining thereto, the license for Station KDRG was transferred, assigned, or disposed of, by transfer of control of the licensee corporation, or otherwise, in violation of section 310(d) of the Communications Act of 1934, as amended;

(b) Whether the licensee violated the Commission's Rules, as alleged in the Official Notice of Violation issued on February 8, 1977, and if so, the nature and extent of those violations and, in light of the evidence adduced pursuant to that determination, whether the licensee has exercised that degree of responsibility required of a licensee of the Commission;

(c) Whether, in light of all the facts and circumstances pertaining thereto, employees, management, officers or principals of the licensee falsified and/or fabricated entries in the station's operating logs, and, if so, the extent to which entries in the KDRG operating logs were falsified and/or fabricated;

(d) Whether, in light of all the facts and circumstances surrounding the preparation and submission to the Commission of statements by principals and/or officers of the licensee corporation concerning entries made in KDRG's operating logs, the licensee corporation has misrepresented facts to the Commission and/or been lacking in candor regarding the preparation of KDRG operating logs;

(e) Whether, in light of the information adduced under the preceding issues, the licensee possesses the requisite qualifications to be or to remain a licensee of the Commission, and whether a grant of the captioned application would serve the public interest, convenience and necessity.

4. *It is further ordered*, That the Chief, Broadcast Bureau, is directed to serve upon the capitioned applicant within thirty (30) days of the release of this Order, a Bill of Particulars with respect to Issues (a) through and including (d).

5. *It is further ordered*, That, if it is determined that the hearing record does not warrant an order denying the captioned application for renewal of license for Station KDRG, it shall also be determined whether the applicant has repeatedly violated sections 73.113(a), 73.67(a)(3), 73.932(a), 73.92(a), 73.51(e)(2), 73.111(a), 73.52(a), 73.87, and 73.40(a)(14) of the Commission's Rules.[2] If so, it shall also be determined whether an Order of Forfeiture pursuant to section 503(b) of the Communications Act of 1934, as amended, in the amount of $10,000 or some lesser amount, should be issued for violations which occurred within one year preceding the issuance of the Bill of Particulars in this matter.

6. *It is further ordered*, That, this document constitutes a Notice of Apparent Liability for forfeiture for violation of sections 73.113(a), 73.67(a)(3), 73.932(a), 73.92(a), 73.51(e)(2), 73.111(a), 73.52(a), 73.87, and 73.40(a)(14) of the Commission's Rules. The Commission has determined that, in every case designated for hearing involving revocation

[1] The license renewal for KDRG has been deferred since April 1974 for engineering reasons. The licensee is reminded that should all the hearing issues listed below be resolved in its favor, the 1974 license renewal application cannot be granted until certain engineering problems have been eliminated.

[2] See Bill of Particulars for specific dates of each alleged violation.

or denial of renewal of license for alleged violations which also come within the purview of section 503(b) of the Act, it shall, as a matter of course, include this forfeiture notice so as to maintain the fullest possible flexibility of action. Since the procedure is thus a routine standard one, we stress that inclusion of this Notice is not to be taken as in any way indicating what the initial or final disposition of the case should be; the judgment is, of course, to be made on the facts of each case.

7. *It is further ordered,* That the Broadcast Bureau proceed with the initial presentation of the evidence with respect to Issues (a) through (d) and the applicant then proceed with its evidence and have the burden of establishing that it possesses the requisite qualifications to be a licensee of the Commission and that a grant of its application would serve the public interest, convenience and necessity.

8. *It is further ordered,* That to avail itself of the opportunity to be heard, the applicant herein, pursuant to section 1.221 of the Commission's Rules, in person or by attorney, shall file with the Commission, within twenty (20) days of the mailing of this Order, a written appearance in triplicate, stating an intention to appear on the date fixed for the hearing and present evidence on the issues specified in this Order.

9. *It is further ordered,* That the applicant herein, pursuant to section 311 (a)(2) of the Communications Act of 1934, as amended, and section 1.594 of the Commission's Rules, shall give notice of the hearing within the time and in the manner prescribed in such Rule and shall advise the Commission thereof as required by section 1.594(g) of the Rules.

10. *It is further ordered,* That the Secretary of the Commission send a copy of this Order by Certified Mail—Return Receipt Requested to Deer Lodge Broadcasting, Inc., licensee of KDRG, Deer Lodge, Mont.

FEDERAL COMMUNICATIONS COMMISSION,
VINCENT J. MULLINS,
Secretary.

[FR Doc.77-28615 Filed 9-28-77;8:45 am]

[6712-01]

[Docket No. 21397; FCC 77-635]

WILLIAM J. SCHWARTZ

Order To Show Cause

Adopted: September 15, 1977.

Released: September 23, 1977.

In re William J. Schwartz d.b.a. Tri-Boro Cablevision, Lanesboro, Pa., Oakland, Pa., Susquehanna, Pa., petition for order to show cause (Docket No. 21397, CSC-180, (PA0539), (PA0540), (PA-0541)).

1. Southern Tier Educational Television Association, Inc., licensee of Television Broadcast Station WSKG (Educ., Channel 46), Binghamton, N.Y., has petitioned for an order to show cause against Tri-Boro Cablevision, operator of cable television systems serving Lanesboro, Oakland, and Susquehanna, Pa. The three cable communities are within the Binghamton, N.Y., smaller television market specified zone. Signal carriage rules applicable to cable systems located within smaller markets require carriage upon the station's request of all television stations within whose specified zone the cable community lies and all noncommercial, educational stations within whose Grade B contour the community lies.[1] The three cable communities involved in the present proceeding lie well within WSKG's Grade B contour. WSKG has submitted copies of five letters to Tri-Boro requesting carriage. It appears that the station is entitled to carriage under both provisions of the Rules. Tri-Boro has not filed a pleading in this proceeding.

§ 76.59 *Provisions for smaller television markets.*

Where a system serves a community that is located in whole or in part within a smaller television market * * * that community unit shall carry television broadcast signals only in accordance with the following provisions:

(a) Any such community unit may carry or, on request of the relevant station licensee or permittee, shall carry the signals of:

(1) Television broadcast stations within whose specified zone the community is located, in whole or in part;

(2) Noncommercial educational television broadcast stations within whose Grade B contours the community of the unit is located, in whole or in part;

In view of the foregoing, we believe that an order to show cause should be issued against Tri-Boro Cablevision as requested.

Accordingly, *It is ordered,* That the "Request for Order to Show Cause" filed by Southern Tier Educational Television Association, Inc. (CSC-180), is granted.

It is further ordered, That pursuant to sections 312 (b) and (c) and section 409(a) of the Communications Act of 1934, as amended, 47 U.S.C. 312 (b) and (c) and 409(a), William J. Schwartz d.b.a. Tri-Boro Cablevision is directed to show cause why it should not be ordered to cease and desist from further violation of section 76.59(a) (1) and (2) of the Commission's Rules on its cable television systems serving Lanesboro, Oakland, and Susquehanna, Pa.

It is further ordered, That Tri-Boro Cablevision is directed to appear and give evidence with respect to the matters described above at a hearing to be held at a time and place and before an Administrative Law Judge to be specified by subsequent order, unless hearing is waived, in which event a written statement may be submitted.

It is further ordered, That Southern Tier Educational Television Association, Inc., is made a party to the proceeding.

It is further ordered, That the Secretary of the Federal Communications Commission shall send copies of this order by certified mail to Tri-Boro Cablevision, 123 Erie Avenue, Susquehanna, Pa. 18847.

FEDERAL COMMUNICATIONS COMMISSION,
VINCENT J. MULLINS,
Secretary.

[FR Doc.77-28616 Filed 9-28-77;8:45 am]

[1] The applicable signal carriage rules read as follows:

[3128-01]

FEDERAL ENERGY ADMINISTRATION

ANTHRACITE COAL CONFERENCE

Meeting

Notice is hereby given that the Environmental Subgroup to the Anthracite Coal Conference will hold a meeting on Thursday, October 13, 1977, at 10:30 a.m., Governor's Conference Room, State Office Building, Broad and Spring Garden Streets, Philadelphia, Pa.

The objectives of the Anthracite Coal Conference are to make recommendations to the FEA with respect to the increased utilization of anthracite coal as a readily-available energy source and the maintenance of fair and reasonable consumer prices for such supplies.

The importance of convening this subgroup meeting stems from a priority commitment made by the President to find ways of improving coal production and utilization, without endangering the public health or degrading the environment. In support of this commitment the FEA was charged with the responsibility for studying methods to increase the production of anthracite coal. Analysis and recommendations to this end must be completed by the end of October.

The agenda for this meeting will be a summarization of the subgroup's activities, and a discussion of possible follow-up after the briefing with Secretary Schlesinger. In past meetings this subgroup developed a study plan to be followed in analyzing environmental factors impacting upon the acceptability of increases in anthracite production and utilization. Environmental issues previously considered by this subgroup include land use conflicts, water quality, refuse disposal, and land restoration/rehabilitation.

This meeting will be open to the public. The Chairman is empowered to conduct this 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 will be permitted to do so, either before or after the meeting.

Further information concerning this meeting may be obtained from Beth Nelson, Room 3502, FEA Headquarters, 12th and Pennsylvania Avenue NW., Washington, D.C. 20461 (202-566-6230).

Minutes of this meeting will be available for public review and copying at the Freedom of Information Public Reading Room, Room 2107, FEA Headquarters, 12th and Pennsylvania Avenue NW.,

Washington, D.C., between the hours of 8 a.m. and 4:30 p.m., Monday through Friday, except Federal holidays.

Issued at Washington, D.C. on September 26, 1977.

ERIC J. FYGI,
Acting General Counsel.

[FR Doc.77-28698 Filed 9-28-77;8:45 am]

[3128-01]

ISSUANCE OF DECISIONS AND ORDERS BY OFFICE OF EXCEPTIONS AND APPEALS

Week of August 8 Through August 12, 1977

Notice is hereby given that during the week of August 8 through August 12, 1977, the Decisions and Orders summarized below were issued with respect to Appeals and Applications for Exception or other relief filed with the Office of Exceptions and Appeals of the Federal Energy Administration. The following summary also contains a list of submissions which were dismissed by the Office of Exceptions and Appeals and the basis for the dismissal.

APPEALS

Arent, Fox, Kintner, Plotkin & Kahn; Washington, D.C.; FFA-1405; Freedom of Information

The law firm of Arent, Fox, Kintner, Plotkin and Kahn (Arent) appealed from a partial denial by the FEA Information Access Officer of a request for information which the firm had submitted under the Freedom of Information Act (the Act). In its initial request, Arent had sought copies of documents in the possession of the FEA which relate to line 7 of FEA Form P-125-S-O, entitled "Report of Refiner Profit Margin." The FEA Information Access Officer released copies of two documents to Arent but withheld from disclosure several documents within the scope of Arent's request which the Information Access Officer concluded were exempt from disclosure as intra-agency memoranda under the provisions of 5 U.S.C. 552(b)(5). In considering the Arent Appeal, the FEA found that two of the three documents withheld from Arent set forth the advice and recommendations of various FEA personnel concerning a proposed agency reporting form, and the remaining document was a draft of instructions for completing the proposed form. The FEA determined that the material withheld was predecisional in nature and that it was precisely the kind of information which the intra-agency memorandum exemption of the Act was designed to protect from disclosure. The FEA also determined that the material which was withheld did not constitute "secret" or "working" law of the FEA which must be disclosed under the principles set forth in *National Labor Relations Board* v. *Sears, Roebuck & Co.*, 421 U.S. 132 (1975). Finally, the FEA held that the documents did not lose their exempt status merely because a final agency decision had been made regarding an issue discussed in those documents. The Arent Appeal was consequently denied.

Les K. Hanson, Inc.; St. Paul, Minn.; FRA-1191; Refined Petroleum Products

Les K. Hanson, Inc. (Hanson) filed an Appeal from a Remedial Order which the Regional Administrator of FEA Region V had issued to the firm on February 2, 1977. In the Remedial Order, the FEA found that during the period November 1, 1973 through December 31, 1974, Hanson had sold motor gasoline and diesel fuel at prices which exceeded the maximum permissible price levels specified in 6 CFR 150.359 and 10 CFR 212.93. In considering Hanson's Appeal, the FEA rejected the firm's contention that it had been unable to obtain copies of the relevant regulations and therefore should not be held liable for overcharges. In this regard, the FEA determined that a firm's ignorance of its obligations under federal law in no way constitutes a defense for violations of those laws. After reviewing the information contained in the February 2 Remedial Order issued to Hanson, however, the FEA also concluded that the Order did not contain sufficient factual findings regarding the specific amount of overcharges cited. The FEA found that due to the deficiency in the factual findings, the firm was unable to verify the accuracy of the FEA's conclusion that it had overcharged one of its customers or to submit a meaningful appeal of the Remedial Order. The FEA therefore remanded the Remedial Order to FEA Region V for further consideration and directed the Regional Administrator to release to Hanson all workpapers and supporting documents which set forth the basis for the amount of the alleged overcharges which were found to exist.

Martin Oil Service, Inc.; Washington, D.C.; FPI-0110; Motor Gasoline No. 2 Fuel Oil

Martin Oil Service, Inc. appealed from a Decision and Order which was issued to it by the Federal Energy Administration on February 4, 1977. *Martin Oil Service, Inc.*, 5 FEA Par. 83,061 (February 4, 1977). In the prior Decision, the FEA denied Martin's request for an exception from the provisions of 10 CFR 213.35(c) which would have permitted the firm to import 2,158,732 barrels of motor gasoline and 445,867 barrels of No. 2 fuel oil into PAD Districts I-IV on a license fee-exempt basis during the current allocation period. In considering the Martin Appeal, the FEA found that the firm's financial results during its 1974 fiscal were anomalous and would therefore render use of the firm's historical data unreliable as an index of the impact of the Mandatory Oil Import Regulations upon the firm's current profitability. After adjusting the firm's historical data to eliminate the 1974 financial results, the FEA observed that Martin's projected profits for its 1977 fiscal year were less than the level of profitability which it attained during the historical period used for comparison. Nevertheless, the FEA determined that Martin had failed to demonstrate that the decline in its profitability represents a significant deterioration in Martin's operating posture which is attributable to the firm's license fee obligation. In this regard, no showing had been made that the level of profits projected by the firm would interfere in any material way with its operations. The FEA therefore determined that Martin had failed to meet the standards set forth in the Guidelines which have been established for evaluating requests for execption from the license fee requirements of Part 213. Accordingly, the FEA concluded that Martin had failed to establish that the February 4 Order was erroneous and the Martin Appeal was denied.

Pester Refining Co.; El Dorado, Kans.; FXA-1210; Refined Petroleum Products

Pester Refining Company (Pester) appealed from a Decision and Order which the Federal Energy Administration issued to it on January 31, 1977. *Pester Refining Co.; American Petrofina, Inc.*, 5 FEA Par. 83,062 (January 31, 1977). The January 31 Decision was designed to resolve a number of issues concerning the application of the FEA Regulations to the acquisition by Pester of a refinery located in El Dorado, Kansas (the El Dorado Refinery) which had previously been owned by American Petrofina, Inc. (Fina). The Pester Appeal related to those portions of the January 31 Order which specify (i) the manner in which Pester was directed to calculate increased product costs for purposes of the refiner's price rule (10 CFR 212.83); and (ii) the manner in which Pester and Fina were directed to adjust their "banks" of unrecouped increased costs.

In its Appeal, Pester requested that it be permitted to compute the increased product costs which it incurs by using the overall product costs incured by Fina in connection with its consolidated operations during May 1973. In considering this request, the FEA observed that one of the primary considerations of the FEA in cases involving the transfer of a refinery is the impact which that transfer will have upon the firms which purchase products from the refinery. In the January 31 Decision and Order, the FEA determined that the interests of those firms would best be protected by permitting Pester to assume the May 1973 product costs associated with the operation of the El Dorado refinery rather than the costs associated with Fina's overall operations. In the present proceeding, the FEA found that Pester had failed to present any data which demonstrated that this determination was factually or legally erroneous. Accordingly, this portion of Pester's Appeal was denied.

In its Appeal, Pester also requested that it be permitted to treat the bank of unrecovered product costs which it accumulated as a retailer pursuant to 10 CFR 212.93(e) as if that bank had been accumulated by Pester as a refiner pursuant to 10 CFR 212.83. In considering this request, the FEA observed that prior to its acquisition of the El Dorado refinery, Pester had had an opportunity to pass through all of the increased product costs which it had incurred in its retailing operation, subject to the limitations imposed by market conditions. The FEA pointed out that by entering into its agreement to purchase the El Dorado refinery, Pester made a business decision which substantially changed the nature of its operation, and therefore it had no reason to assume that its rights and obligations under the FEA Regulatory Program would remain the same after its operations were changed from those of a retailer to those of a refiner. In addition, the FEA noted that in a recent Decision, *Hudson Oil Co.; Midland Cooperatives, Inc.*, 5 FEA Par. 83,007 (December 20, 1976), the FEA considered and rejected contentions similar to those presented by Pester in support of this request. Accordingly, this portion of Pester's Appeal was also denied.

Uranich Coal and Oil; La Salle, Ill.; FRA-1224; No. 2 Fuel Oil

Uranich Coal and Oil appealed from a Remedial Order which FEA Region V issued to the firm on February 4, 1977. In the Remedial Order, the FEA determined that Uranich had sold No. 2 fuel oil to certain customers at prices in excess of those permitted under 6 CFR 150.359 and 10 CFR 212.93. In order to remedy the violations cited, Uranich was directed to make refunds to the customers which it allegedly overcharged. In its Appeal, Uranich contended that the Notice of Probable Violation issued to the firm had not contained the type of factual information which would have permitted it to adequately evaluate the charges and formulate a response. Moreover, Uranich asserted that the Remedial Order was procedurally defective in that it failed to set forth adequate findings of fact and conclusions of law with respect to the alleged violations. In considering the firm's assertions, the FEA found that the NOPV was defective and that as a result,

the firm had been deprived of its right to respond to it in a proper manner prior to the issuance of a Remedial Order. Moreover, the FEA found that the Remedial Order did not contain specific findings supported by substantial evidence and as a result was also procedurally defective. Accordingly, the FEA vacated the February 4, 1977 Remedial Order and remanded the matter to FEA Region V for further evaluation.

APPLICATIONS FOR EXCEPTION

Arden A. Anderson; Pensacola, Fla.; FEE–4290; Crude Oil

Arden A. Anderson filed an Application for Exception from the provisions of 10 CFR, Part 212, Subpart D, which, if granted, would have permitted the working interest owners to sell the crude oil to be produced from the redrilling of the J. O. McHenry No. 1 well at upper tier ceiling prices. In considering Anderson's Application for Exception, the FEA determined that, even if exception relief were not granted, the revenues which Anderson would receive during the remaining economic life of the McHenry well would provide the working interest owners with a sufficient economic incentive to undertake the necessary capital investment to redrill the McHenry well. The FEA also found that in the absence of exception relief, Anderson would realize an internal rate of return on its investment of 40 percent if the well was redrilled. On the basis of these findings, Anderson's Application for Exception was denied.

Ashland Oil, Inc.; Commonwealth Oil Refining Co. Inc.; Washington, D.C.; FEE–4431; Crude Oil and Refined Products.

Ashland Oil, Inc. (Ashland) and Commonwealth Oil Refining Company, Inc. (Corco) jointly filed an Application for Exception from the FEA Mandatory Petroleum Price and Allocation Regulations. The exception request, if granted, would permit Ashland and Corco to be treated as separate entities for purposes of all FEA regulatory programs in the event that Ashland acquires a controlling interest in Corco. The firms noted that the FEA had previously issued a Decision and Order to the Tesoro Petroleum Company (Tesoro) in which Tesoro and Corco were permitted separate treatment with respect to a number of regulatory programs after Tesoro had purchased a controlling share of Corco common stock. "Tesoro Petroleum Company," 2 FEA Par. 83,334 (October 14, 1975). In considering the current request the FEA found that, although Ashland and Corco requested a broader range of exception relief than that granted to Tesoro, the same factors which formed the basis for approval of exception relief in the "Tesoro" Decision were present in the current proceeding, including assurances by Ashland and Corco that their traditionally independent business activities would continue to function autonomously. Therefore, in view of the precedent established in the "Tesoro" Decision and the severe financial difficulties being experienced by Corco, the FEA determined that exception relief permitting Ashland and Corco to be treated as separate entities for purposes of all FEA regulatory programs should be approved. The FEA also permitted Corco and Ashland to be treated as separate entities with respect to any exception application filed by either firm and decided within the next two years. Finally, the FEA granted Corco a five-month extension of the exception relief from the Entitlements Program which was previously granted to the firm, contingent upon Ashland's acquisition of a controlling interest in the firm. "See Commonwealth Oil Refining Company, Inc.", 5 FEA Par. 83,132 (April 14, 1977).

Good Hope Industries, Inc.; Washington, D.C.; FPI–0114; FPI–0123; Finished and Unfinished Naphtha

Good Hope Industries, Inc. (GHI) filed an Application for Exception from the provisions of 10 CFR 213.35(c) which, if granted, would permit it to import on a license fee-exempt basis 1,667,685 barrels of unfinished naphtha and 1,994,360 barrels of finished naphtha into Districts I–IV during the current allocation period. In considering the firm's request, the FEA found that GHI was required to import substantial quantities of finished and unfinished naphtha to supply its motor gasoline customers. The FEA determined that the data submitted by GHI supported the firm's contention that the additional expense which it would incur from the payment of license fees on the naphtha which it imports could not be reflected in its selling prices, and that payment of the fees would therefore exacerbate the firm's existing financial difficulties. In this regard, the FEA observed that GHI is currently involved in bankruptcy proceedings and although the firm projects that it will earn substantial profits during the current allocation period, it will be required to use substantially all of these profits to pay bankruptcy expenses, repay debts and make unavoidable capital expenditures. In view of these projected results and the fact that GHI expects to experience a negative cash flow during the 1977–78 allocation period, the FEA concluded that the firm would experience an exceptional hardship in the absence of exception relief. Accordingly, the firm's request was approved with respect to the 2561.12 barrels per day of unfinished naphtha and the 2547.12 barrels per day of finished naphtha which will be necessary to supply its motor gasoline customers. Good Hope also filed a second Application for Exception in which it requested refunds for the license fees which it had already paid during the current allocation period. With respect to this submission the FEA determined that since GHI had made a compelling showing of financial hardship and had pursued its administrative remedies in a timely manner, this request should also be granted.

Great Southern Oil and Gas Co., Inc.; Lafayette, La.; FXE–4416; Crude Oil

Great Southern Oil & Gas Company, Inc. filed an Application for Exception from the provisions of 10 CFR, Part 212, Subpart D. The request, if granted, would result in an extension of the exception relief previously granted to Great Southern and would permit the firm to continue to sell a portion of the crude oil produced from the Elizabeth Longman No. 1 well (the Longman well) at upper tier ceiling prices. In considering the exception application, the FEA found that Great Southern continued to incur per barrel operating expenses for the Longman well which were in excess of the lower tier ceiling price the firm was permitted to charge pursuant to Subpart D and that in the absence of continued exception relief, the working interest owners would lack an economic incentive to continue production of crude oil from the property. In view of this situation and on the basis of the operating data presented for the well for the preceding six months, the FEA concluded that the working interest owners should be permitted to sell 100 percent of the crude oil produced from the well at upper tier ceiling prices in order to recover the increased operating costs of the well.

Irving Oil Corp.; Bangor, Maine; FPI–0117; No. 2 Fuel Oil Motor Gasoline Residual Fuel Oil

Irving Oil Corporation filed an Application for Exception from the provisions of 10 CFR 213.35(c) which, if granted, would result in the issuance of an Order by the FEA authorizing the firm to import 3,750,000 barrels of residual fuel oil, 100,000 barrels of No. 2 fuel oil and 50,000 barrels of motor gasoline into PAD District I on a fee-exempt basis during the current and two subsequent allocation periods. In considering the exception request, the FEA found that payment of the import license fee would place the firm at a significant disadvantage in the New England residual fuel oil market. The FEA also found that Irving's attempts to secure domestic supplies of residual fuel oil at competitive prices have been largely unsuccessful, and the firm will probably have to continue to rely primarily on imported products. In addition, the data which Irving submitted indicated that, in the absence of exception relief, the firm will incur a substantial operating loss during the current allocation period. Based on these considerations and the projected needs of Irving's customers, the FEA ordered that Irving be permitted to import an additional 3,750,000 barrels of residual fuel oil on a fee-exempt basis during the current allocation period. However, the FEA observed that a separate adjudicatory determination must be made for each allocation period for which a firm seeks fee-exempt authority and consequently it denied Irving's request for exception relief for subsequent allocation periods. The FEA also found that Irving had not demonstrated that it has supply obligations for either motor gasoline or No. 2 fuel oil, and it therefore denied Irving's request for a fee-exempt allocation with respect to those products.

Kewanee Oil Co.; Tulsa, Okla.; FXE–4385; Crude Oil

Kewanee Oil Company filed an Application for Exception from the provisions of 10 CFR, Part 212, Subpart D. The exception request, if granted, would result in the extension of exception relief previously granted to Kewanee and would permit the firm to continue to sell a portion of the crude oil produced from the South Stanley Field at upper tier ceiling prices. "See Kewanee Oil Company," 5 FEA Par. 83,076 (February 22, 1977). In considering the exception application, the FEA found that Kewanee continues to incur per barrel operating expenses at the South Stanley Field which exceed the lower tier ceiling price which it is permitted to charge and that, therefore, in the absence of further exception relief, the working interest owners would lack an economic incentive to continue to produce crude oil from the property. In view of this situation, and on the basis of the operating data presented by Kewanee for the South Stanley Field, the FEA concluded that the working interest owners should be permitted to sell 33.53 percent of the crude oil produced from the Field from August 1, 1977 through January 31, 1978 at upper tier ceiling prices.

Laketon Asphalt Refining, Inc., Evansville, Ind.; FXE–4415; Crude Oil

Laketon Asphalt Refining, Inc. filed an Application for Exception from the provisions of 10 CFR 211.67 (the Old Oil Entitlements Program) which, if granted, would relieve the firm of any obligation to purchase entitlements beginning with the month of August 1977. In support of its exception request, Laketon submitted projected financial statements, and projected monthly crude oil runs to stills and receipts of old, new, stripper well

and imported crude oil for its current fiscal year which ends on December 31, 1977. In considering Laketon's exception request, the FEA determined that as a result of Laketon's crude oil runs and receipts during the current fiscal year, the firm would be required to purchase entitlements at a substantial cost commencing with the month of August 1977. As a result of this projected entitlements cost which Laketon would incur during its current fiscal year, the firm's profit margin and return on invested capital would be below its historical levels. The FEA therefore determined that under the criteria set forth in "Delta Refining Co.", 2 FEA Par. 83,275 (September 11, 1975) and "Beacon Oil Co.", 3 FEA Par. 83,209 (June 8, 1976), exception relief was warranted. Accordingly, the FEA granted Laketon's Application for Exception, relieving the firm of any obligation to purchase entitlements during the six-month period August 1977 through January 1978 to account for its crude oil receipts and runs to stills during the period June 1977 through November 1977. However, the FEA noted that the relief approved would be reevaluated if Laketon requests an extension of exception relief beyond January 1978 and, as is the case with all Entitlements Program exception decisions, at the conclusion of the firm's current fiscal year. The decision further noted that on the basis of that year-end review, an adjustment will be made and Laketon will be required to purchase entitlements if it received excess benefits because of a difference between the financial projections it submitted and the actual financial results which it achieves.

Newhall Refining Co., Inc.; Newhall, Calif.; FEE–4394; Crude Oil

Newhall Refining Company, Inc. filed an Application for Exception from the provisions of 10 CFR 211.67 (the Old Oil Entitlements Program) which, if granted, would relieve the firm of any obligation to purchase entitlements beginning with the month of August 1977. In support of its exception request, Newhall submitted projected financial statements, and projected monthly crude oil runs to stills and receipts of old, new and imported crude oil for its current fiscal year which ends on August 31, 1977. In considering Newhall's exception request, the FEA determined that as a result of Newhall's crude oil runs and receipts during the current fiscal year, the firm would be required to purchase entitlements at a substantial cost commencing with the month of August 1977. As a result of the projected entitlements cost which Newhall would incur during its current fiscal year, the firm's profit margin and return on invested capital would be below historical levels. Under the criteria set forth in "Delta Refining Company" 2 FEA Par. 83,275 (September 11, 1975) and "Beacon Oil Company," 3 FEA Par. 83,209 (June 8, 1976), exception relief was therefore warranted. Accordingly, the FEA granted Newhall's Application for Exception relieving the firm of any obligation to purchase entitlements during the six-month period August 1977 through January 1978. However, the FEA noted that the relief approved would be reevaluated if Newhall requested an extension of exception relief beyond January 1978 and, as is the case with all Entitlements Program exception decisions, at the conclusion of the firm's current fiscal year. The decision further noted that, on the basis of that year-end review, an adjustment will be made and Newhall will be required to purchase entitlements if it received excess benefits because of a difference between the financial projections it submitted and the actual financial results which it achieves.

APPLICATIONS FOR STAY

Berry Holding Co.; Fresno, Calif.; FRS–1394; Crude Oil

Berry Holding Company requested that a requirement that it audit its own business operations be stayed. That requirement was imposed on Berry in a Remedial Order which was issued to the firm on June 10, 1977. In the Remedial Order the FEA found that prior to July 31, 1975 Berry had sold crude oil from two of its properties at prices which exceeded the ceiling price levels for that crude oil established pursuant to 6 CFR 150.353 and 10 CFR 212.73. The Remedial Order therefore directed Berry to refund the overcharges plus interest to the purchaser of the crude oil. In addition, Berry was directed to ascertain whether any of its sales of crude oil subsequent to July 31, 1975 were made at prices which exceeded the applicable ceiling price levels and to certify the results of its analysis to the FEA within 30 days of the effective date of the Remedial Order, i.e. by August 12, 1977. In its Application for stay, Berry requested that the self-audit requirement of the Remedial Order be stayed until October 11, 1977, the date established in the Remedial Order by which Berry must complete the refund of its overcharges. In considering Berry's request for stay, the FEA determined that the firm had raised substantial issues of law concerning the FEA's statutory and regulatory authority to require the firm to compute and certify the alleged overcharges which it may have made. In addition, the FEA found that the requirement that Berry conduct the audit required by the Remedial Order would cause it to incur additional expenses and might well result in an irreparable injury to the firm if it were successful on the merits of its Appeal. The FEA therefore concluded that the stay requested by Berry was warranted.

ELY CRUDE OIL CO.; Ely, Nev.; FES–4413; Crude Oil

The Ely Crude Oil Company requested that the FEA stay the application of the provisions of 10 CFR 211.67 (the Old Oil Entitlements Program) to the crude oil which it produces. Ely filed its stay request in conjunction with an Application for Exception which, if granted, would effectively remove any entitlements obligation which would otherwise be incurred by any refiner with respect to crude oil which it purchases from Ely. The Ely stay, if approved, would consequently have provided the firm with the exception relief which it seeks on an interim basis during the pendency of the exception proceeding. In considering the Ely stay request, the FEA found that the firm had failed to satisfy any of the criteria set forth in 10 CFR 205.125(b) which govern the evaluation of an Application for Stay. In addition, the FEA observed that the type of relief which Ely sought in its stay request, i.e. the interim approval of its exception application before the FEA has an opportunity to consider the comments of any interested parties or to conduct a full review of the merits of the exception request, is appropriate only if a firm makes a very strong showing that there is a likelihood of success on the merits of its exception request. "See C&H Refinery, Inc.", 6 FEA Par. — (June 28, 1977). The FEA concluded that, in the present case, Ely had not made such a showing and accordingly denied Ely's Application for Stay.

Farmer Gas and Oil Co.; Ithaca, Mich.; FRS–1393; Motor Gasoline

Farmers Gas & Oil Company (Fargo) requested that a Remedial Order which the Regional Administrator of FEA Region V issued to the firm on June 28, 1977 be stayed pending a final determination on Fargo's Appeal. In the Remedial Order, the FEA found that during the period November 1, 1973 through July 31, 1974 Fargo had sold motor gasoline at prices which were in excess of the firm's maximum permissible selling prices. On the basis of this finding, Fargo was directed to refund the overcharges plus interest by reducing its selling prices by $.01 per gallon until the refunds had been completed. In considering the request for stay, the FEA determined that Fargo had satisfied the standards for the approval of a stay set forth in "General Crude Oil Co.," 3 FEA Par. 85,040 (June 25, 1976). In particular, the FEA found that Fargo's submission indicated that it would raise significant arguments in its Appeal concerning the FEA's calculation of the firm's alleged overcharges. In addition, the FEA found that the firm would encounter inordinate difficulty in recovering any refunds it might make through price reductions, and therefore experience an irreparable injury, if it were ultimately successful on the merits of its Appeal. The FEA therefore concluded that the refund requirements should be stayed. However, in accordance with the standards established in "General Crude," the stay was conditioned upon the establishment of an escrow account into which Fargo is required to deposit the refunds at the same rate as that specified in the Remedial Order until the escrow account contains the full amount of overcharges and interest.

SUPPLEMENTAL ORDERS

Kern County Refinery, Inc.; Bakersfield, Calif.; FEX–0176; Crude Oil

On July 21, 1977, the FEA issued a Supplemental Order to Kern County Refinery, Inc. in which it was determined that no adjustment to the exception relief previously granted Kern from the provisions of 10 CFR 211.67 (the Old Oil Entitlements Program) was necessary for the firm's fiscal year ended March 31, 1977. "Kern County Refinery, Inc." 6 FEA Par. (July 21, 1977). In arriving at the July 21 determination, the FEA concluded that no adjustment was necessary despite the fact that Kern had failed to achieve its historical profit margin because Kern had already received exception relief from 100 percent of its obligations to purchase entitlements during its 1977 fiscal year. However, subsequent to the issuance of the July 21 Order the FEA found that the basis for the July 21 Order was incorrect, since Kern was actually granted only partial exception relief for the period April through September 1977. The FEA therefore conducted another review of the exception relief which Kern had been granted for its 1977 fiscal year which ended on March 31, 1977. Based on that review, the FEA determined that Kern had received an insufficient measure of exception relief during its 1977 fiscal year. Kern was therefore permitted to sell additional entitlements having a total value of $1,416,819 during the period August through October 1977.

Mohawk Petroleum Corp., Inc.; Los Angeles Calif.; FEX–0178; Crude Oil

On July 20, 1977, the Federal Energy Administration issued a Supplemental Order to Mohawk Petroleum Corporation, Inc. in which the FEA determined that Mohawk had received an excess amount of exception relief from the provisions of 10 CFR 211.67 (the Old Oil Entitlements Program) for the firm's fiscal period ended December 31, 1976. "Mohawk Petroleum Corporation, Inc.," 6 FEA Par. (July 20, 1977), Mohawk was therefore directed to purchase entitlements equal in value to the amount of the excess excep-

tion relief. The period under review in the July 20 Order encompassed the nine-month period between April 1 and December 31, 1976. However, subsequent to the issuance of that Order, the FEA found that the amount which reflected Mohawk's excess return on invested capital as stated in the July 20 Order had been annualized to reflect a full twelve-month period. The FEA determined that since the amount of the excess exception relief was based on a twelve-month period rather than a nine-month period, the determination reached in the July 20 Order was not in accordance with the criteria set forth in "Beacon Oil Company," 3 FEA Par. 83,209 (June 8, 1976) and "Delta Refining Company," 2 FEA Par. 83,275 (September 11, 1975), and was therefore erroneous. The FEA therefore conducted another review of the exception relief which Mohawk had been granted for the period April 1, 1976 through December 31, 1976. Based on that review the FEA determined that Mohawk had still received an excess measure of exception relief during the April through December 1976 period. The July 20 Order was therefore modified and Mohawk was required to purchase additional entitlements having a total value of $1,415,362 during the period August 1977 through July 1978.

Rock Island Refining Corp.; Indianapolis, Ind.; FEX–0136; Crude Oil

On June 17, 1976 and September 10, 1976, the FEA issued Decisions and Orders to Rock Island Refining Corporation in which it granted the firm exceptions from the provisions of 10 CFR 211.67 (the Old Oil Entitlements Program). "Rock Island Refining Corporation", 3 FEA Par. 83,233 (June 17, 1976)." "Rock Island Refining Corporation", 4 FEA Par. 83,086 (September 10, 1976). The June 17 and September 10 Orders had the effect of relieving Rock Island of a portion of its obligation to purchase entitlements during its 1976 fiscal year. That exception relief was granted in accordance with the standards estblished in "Beacon Oil Company", 3 FEA Par. 83,209 (June 8, 1976) and "Delta Refining Company", 2 FEA Par. 83,275 (September 11, 1975), and applied to the firm's crude oil receipts and runs to stills during the period April 1, 1976 through November 30, 1976. In the June 17 and September 10 Orders, the FEA indicated that it would conduct a review of the exception relief which had been granted to Rock Island at the completion of the firm's fiscal year to determine whether Rock Island had received either excessive or insufficient benefits during its fiscal period, and would then require Rock Island to buy or sell additional entitlements to adjust for any discrepancy between projected and actual financial results. The FEA therefore conducted a review of the exception relief which Rock Island had been granted for the period April 1 through November 30, 1976, i.e. that portion of the firm's 1976 fiscal year that followed the rescission of Special Rule No. 6 (41 FR 10,392, May 18, 1976). Based on that review, the FEA determined that Rock Island had received an excess measure of exception relief during the April through November 1976 period. Rock Island was therefore required to purchase additional entitlements having a total value of $1,736,408 during the period August 1977 through July 1978.

Tenneco Oil Co.; Houston, Tex.; FEX–0181; Crude Oil

On July 15, 1977, the FEA issued a Decision and Order to the Tenneco Oil Company which permitted the firm to sell at upper tier ceiling prices a portion of the crude oil produced from the Myrtle E. Cross Lease for the benefit of the working interest owners. "Tenneco Oil Co.", 6 FEA Par. --, (July 15, 1977). Subsequent to the issuance of that Order, the FEA determined that the amount of relief granted to Tenneco had been based on an erroneous calculation of the number of barrels of crude oil produced and sold from the Cross Lease. Accordingly, the FEA issued a Supplemental Order in which it granted Tenneco additional exception relief based upon a recalculation of the number of barrels of crude oil produced and sold from that lease.

TEMPORARY STAY

The following Application for Temporary Stay was denied on the ground that the applicant had failed to make a compelling showing that temporary stay relief was necessary to prevent an irreparable injury:

Prater Co.; Farmington, N. Mex.; FRT–0047

DISMISSALS

The following submission was dismissed following a statement by the applicant indicating that the relief requested was no longer needed:

Amtel, Inc.; Houston, Tex.; FXA–1278

The following submissions were dismissed after the applicants repeatedly failed to respond to requests for additional information:

Elliott's Flying Service; Des Moines, Iowa; FEE–4123

Midland Cooperatives, Inc.; Washington, D.C.; FXA–1271

Willoughby Bay Marina; Norfolk, Va.; FEE–4294

The following submission was dismissed on the ground that the submission presented general arguments identical to those advanced by the applicant to the FEA in a previous case.

Stephens & Cass; Dallas, Tex.; FXA–1424

Copies of the full text of these Decisions and Orders are available in the Public Docket Room of the Office of Private Grievances and Redress, Room B–120, 2000 M Street, NW., Washington, D.C. 20461, Monday through Friday, between the hours of 1:00 p.m. and 5:00 p.m., e.d.t., except Federal holidays. They are also available in "Energy Management: Federal Energy Guidelines," a commercially published loose leaf reporter system.

ERIC J. FYGI,
Acting General Counsel.

SEPTEMBER 26, 1977.

[FR Doc.77–28701 Filed 9–28–77;8:45 am]

[3128–01]

STRATEGIC PETROLEUM RESERVE

Notice of Availability of the Draft Environmental Impact Statement for the Seaway Group of Storage Sites

Pursuant to section 102(2)(C) of the National Environmental Policy Act, 42 U.S.C. 4332(2)(C), the Federal Energy Administration (FEA) has prepared a draft environmental impact statement (EIS) on the proposed storage of crude oil at the Seaway group of storage sites.

The Seaway group of storage sites has been proposed as a key element of the Strategic Petroleum Reserve. The Reserve (mandated by Part B of Title I, Energy Policy and Conservation Act, 42 U.S.C. 6231–6246) is intended for the storage of crude oil and/or petroleum products for use in the event of a Presidential determination of a severe energy supply interruption or a requirement to meet the obligations of the United States under the International Energy Program.

Single copies of the Seaway draft EIS (DES 77–10) may be obtained from the National Energy Information Center, Room 1404, 12th and Pennsylvania Avenue NW., Washington, D.C. 20461. Copies of this draft EIS will also be available for public review in the FEA Information Access Reading Room, Room 2107, 12th and Pennsylvania Avenue NW., Washington, D.C. 20461, between 8 a.m. and 4:30 p.m., Monday through Friday except Federal holidays.

Interested persons are invited to submit data, views, and arguments with respect to this EIS to Executive Communications, Box PS, Room 3317, Federal Energy Administration, 12th and Pennsylvania NW., Washington, D.C. 20461.

Comments should be identified on the outside of the envelope and on the documents submitted to FEA Executive Communications with the designation "Seaway Draft EIS (DES 77–10)." Fifteen copies should be submitted.

FEA will allow a minimum of 45 days for interested parties to comment. Accordingly, all comments should be received by November 14, 1977, in order to receive full consideration. FEA will endeavor to comply with any requests (receiving during the 45-day period) for extensions of the review period.

Any information or data, submitted in response to the Seaway draft EIS, considered by the person furnishing it to be confidential must be so identified and submitted in one copy only. The FEA reserves the right to determine the confidential status of the information or data and to treat it according to that determination.

Issued in Washington, D.C., September 24, 1977.

ERIC J. FYGI,
Acting General Counsel,
Federal Energy Administration.

[FR Doc 77–28622 Filed 9–28–77; 8:45 am]

[6730–01]

FEDERAL MARITIME COMMISSION

JAVA/NEW YORK AGREEMENTS

Agreements Filed

Notice is hereby given that the following agreements have 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 agreements at the Washington office of the Federal Maritime Commission, 1100 L Street NW., Room 10126; or may inspect the agree-

ments at the Field Offices located at New York, N.Y., New Orleans, La., San Francisco, Calif., and San Juan, P.R. Comments on such agreements, including requests for hearing, may be submitted to the Secretary, Federal Maritime Commission, Washington, D.C., 20573, on or before October 19, 1977. Any person desiring a hearing on the proposed agreements 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 agreements (as indicated hereinafter) and the statement should indicate that this has been done.

JAVA/NEW YORK RATE AGREEMENT
JAVA/PACIFIC RATE AGREEMENT
DELI/PACIFIC RATE AGREEMENT
AND
DELI/NEW YORK RATE AGREEMENT
NOTICE OF AGREEMENTS FILED BY:
HENRY NOON & CO., LIAISON SECRETARIES,
P.O. BOX 247,
OCEAN BUILDING,
(18TH FLOOR),
SINGAPORE 1.

Agreements Nos. 90–16, 191–7, 192–6, and 7190–6 would amend, respectively, the Java/New York Rate Agreement, the Java/Pacific Rate Agreement, the Deli/Pacific Rate Agreement and the Deli/New York Rate Agreement to provide that as a guarantee of faithful performance under each agreement, each party thereto agrees to furnish a banker's guarantee in the sum of $6,500 (U.S. currency only). Presently, the parties have the individual option of furnishing said guarantee in Florins (25,000), Pounds (2,400), or U.S. Dollars (6,500).

By Order of the Federal Maritime Commission

Dated: September 23, 1977.

JOSEPH C. POLKING,
Acting Secretary.

[FR Doc.77–28581 Filed 9–28–77;8:45 am]

[6730–01]

LYKES BROTHERS STEAMSHIP CO., INC.

Agreement Filed

Notice is hereby given that the following agreement has been filed with the Commission for review and approval, if required, 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, La., San Francisco, Calif., 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 October 19, 1977. 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.

LYKES BROS. STEAMSHIP CO., INC. and LAVINO SHIPPING CO.

Notice of Agreement Filed by: Mr. R. J. Finnan, Lykes Bros. Steamship Co., Inc., Lykes Center, 300 Poydras Street, New Orleans, La. 70130.

Agreement No. T–3446, between Lykes Bros. Steamship Co., Inc., (Lykes) and Lavino Shipping Co. (Lavino), provides for the performance of stevedoring services by Lavino at Tampa Range, Florida. As compensation, Lykes agrees to pay rates mutually agreed to by the parties from time-to-time. The term of the agreement is for one-year, automatically renewed on a year-to-year basis, and may be terminated upon 30 days' written notice by either party.

By order of the Federal Maritime Commission

Dated: September 23, 1977.

JOSEPH C. POLKING,
Acting Secretary.

[FR Doc.77–28582 Filed 9–28–77;8:45 am]

[6730–01]

LYKES BROTHERS STEAMSHIP CO., INC.

Agreement Filed

Notice is hereby given that the following agreement has been filed with the Commission for review and approval, if required, 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, La., San Francisco, Calif., 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, within 20 days after publication of this notice in the FEDERAL REGISTER. 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.

LYKES BROS. STEAMSHIP CO., INC. AND STRACHAN SHIPPING CO.

Notice of Agreement Filed by: Mr. R. J. Finna, Lykes Bros. Steamship Co., Inc., Lykes Center, 300 Poydras Street, New Orleans, La. 70130.

Agreement No. T–3447, between Lykes Bros. Steamship Co., Inc., (Lykes) and Strachan Shipping Co. (Strachan), provides for the performance of stevedoring services by Strachan at Port Everglades, and Miami, Florida. As compensation, Lykes agrees to pay rates mutually agreed to by the parties from time-to-time. The term of the agreement is for one-year, automatically renewed on a year-to-year basis, and may be terminated upon 30 days' written notice by either party.

By Order of the Federal Maritime Commission.

Dated: September 23, 1977.

JOSEPH C. POLKING,
Acting Secretary.

[FR Doc.77–28583 Filed 9–28–77;8:45 am]

[6740–02]

FEDERAL POWER COMMISSION

[Docket No. 1977–456]

CENTRAL HUDSON GAS & ELECTRIC CORP.

Notice of Rate Filing

SEPTEMBER 23, 1977.

Take notice that on July 28, 1977, Central Hudson Gas & Electric Corporation (Central Hudson) tendered for filing its development of actual costs for 1976 related to substation service provided to Consolidated Edison Company of New York, Inc. (Con Edison) in accordance with the Provisions of its Rate Schedule F.P.C. No. 43.

Central Hudson indicates that the actual cost for 1976 amounted to $289,414 and will be the basis on which estimated charges for 1977 will be billed.

Central Hudson requests waiver of the notice requirements set forth in Subsection 35.3 of the Regulations under the

Federal Power Act to permit charges to become effective January 1, 1977 as agreed by the parties.

Central Hudson states that a copy of its filing was served on Con Edison.

Any person desiring to be heard or to protest said application should file a petition to intervene or protest with the Federal Power Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426, in accordance with Sections 1.8 and 1.10 of the Commission's Rules of Practice and Procedure (18 CFR 1.8, 1.10). All such petitions or protests should be filed on or before October 5, 1977. Protests will be considered by the Commission in determining the appropriate action to be taken, but will not serve to make protestants parties to the proceeding. Any person wishing to become a party must file a petition to intervene. Copies of this filing are on file with the Commission and are available for public inspection.

KENNETH F. PLUMB,
Secretary.

[FR Doc.77-28638 Filed 9-28-77;8:45 am]

[6740-02]

[Docket No. CP77-615]

COLORADO INTERSTATE GAS CO.

Notice of Application

SEPTEMBER 21, 1977.

Take notice that on September 12, 1977, Colorado Interstate Gas Company (Applicant), P.O. Box 1087, Colorado Springs, Colo. 80944, filed in Docket No. CP77-615 an application pursuant to Section 7(c) of the Natural Gas Act and Section 157.7(b) of the Regulations thereunder (18 CFR 157.7(b)) for a certificate of public convenience and necessity authorizing the construction during the calendar year 1978, and operation of facilities to enable Applicant to take into its certificated main pipeline system natural gas which would be purchased from producers and other similar sellers thereof, all as more fully set forth in the application which is on file with the Commission and open to public inspection.

The stated purpose of this budget-type application is to augment Applicant's ability to act with reasonable dispatch in connecting to its pipeline system supplies of natural gas which may become available from various producing areas generally co-extensive with its pipeline system or the system of other pipeline companies which may be authorized to transport gas for the account of or exchange with Applicant.

Applicant states that the total cost of the proposed facilities would not exceed $6,500,000 with no single project to exceed a cost of $1,500,000. These costs would be financed from current working funds on hand, funds from operations, short-term borrowings, or long-term financing, it is said.

Any person desiring to be heard or to make any protest with reference to said application should on or before October 12, 1977, file with the Federal Power Commission, Washington, D.C. 20426, a petition to intervene or a protest in accordance with the requirements of the Commission's Rules of Practice and Procedure (18 CFR 1.8 or 1.10) and the Regulations under the Natural Gas Act (18 CFR 157.10). All protests filed with the Commission will be considered by it in determining the appropriate action to be taken but will not serve to make the protestants parties to the proceeding. Any person wishing to become a party to a proceeding or to participate as a party in any hearing therein must file a petition to intervene in accordance with the Commission's Rules.

Take further notice that, pursuant to the authority contained in and subject to the jurisdiction conferred upon the Federal Power Commission by Sections 7 and 15 of the Natural Gas Act and the Commission's Rules of Practice and Procedure, a hearing will be held without further notice before the Commission on this application if no petition to intervene is filed within the time required herein, if the Commission on its own review of the matter finds that a grant of the certificate is required by the public convenience and necessity. If a petition for leave to intervene is timely filed, or if the Commission on its own motion believes that a formal hearing is required, further notice of such hearing will be duly given.

Under the procedure herein provided for, unless otherwise advised, it will be unnecessary for Applicant to appear or be represented at the hearing.

KENNETH F. PLUMB,
Secretary.

[FR Doc. 77-28636 Filed 9-28-77; 8:45 am]

[6740-02]

[Docket No. RP77-125]

COMMERCIAL PIPELINE CO., INC.

Order Accepting for Filing and Suspending Proposed Rate Increase, Initiating Hearing, and Establishing Procedures

SEPTEMBER 22, 1977.

On August 22, 1977, Commercial Pipeline Co., Inc., (Commercial) tendered for filing Twenty-First Revised Sheet No. 3A and Second Revised Sheet No. 7A to its FPC Gas Tariff. The effect of these tariff sheets would be to increase Commercial's annual jurisdictional revenues by $19,428. Commercial requests the proposed increase be permitted to become effective on September 23, 1977. For the reasons stated, the Commission shall accept the proposed increase for filing, suspend its operation for one day or until September 24, 1977, and shall establish procedures for the prompt resolution of certain limited issues or, alternatively for hearing.

Commercial claims the proposed increase is designed to recover higher operating expenses, increased depreciation expense, and a proposed rate of return of 11.58 percent including a rate on common equity of 14.5 percent. Commercial requests waiver of Section 154.63(e)(2)(i) of the Commission's regulations to permit use of calendar year 1976 as the base period for its cost of service study. Commercial states that the expense of obtaining a cost study and audit based on a later period would be greater than the proposed increase. The Commission finds good cause exists to permit Commercial to use calendar year 1976 as the base period in this case.

Commercial's Second Revised Sheet No. 7A changes the notice provision in Commercial's PGA clause from 45 days to 30 days. The 30 day notice period complies with Section 154.38(4)(v) of the Commission's regulations and shall therefore be approved.

Public notice of Commercial's filing was issued on August 30, 1977, with comments, protests or petitions to intervene due on or before September 16, 1977. No protests, comments, or petitions to intervene have been received.

Based upon a review of Commercial's filing the Commission finds that with the exception of Commercial's claimed capitalization and rate of return, the proposed increase is just and reasonable. The Commision finds that Commercial's stated capitalization may be improper and that the claimed rate of return may be excessive. However, in view of the small amounts involved and the expense which would be required to conduct a formal hearing, the Commission believes that procedures should be adopted which may permit the capitalization and rate of return issues to be resolved informally without the need for formal hearings. Accordingly, the Commission shall suspend the proposed increase for one day and shall direct the staff to convene a conference within 30 days following the date of this order. In the event the issues cannot be resolved at the conferences, alternate procedures for hearing shall be prescribed.

The Commission finds: It is necessary and proper in the public interest and in carrying out the provisions of the Natural Gas Act that a hearing be held concerning the lawfulness of the increased rates proposed by Commercial, that the same be accepted for filing and suspended as hereinafter ordered, and that the informal procedures described in this order be adopted.

The Commission orders: (A) Pursuant to the authority of the Natural Gas Act, particularly Sections 4, 5, 8, and 15 thereof, and the Commission's rules and regulations, a public hearing shall be held concerning the lawfulness of the increased rates proposed by Commercial.

(B) Pending hearing and decision, Commercial's proposed rate increase is accepted for filing and suspended for one day until September 24, 1977, when it shall be permitted to become effective, subject to refund, upon motion filed by Commercial in accordance with the provisions of the Natural Gas Act.

(C) Commercial's proposed Second Revised Sheet No. 7A is hereby accepted

for filing, approved and permitted to become effective on September 23, 1977.

(D) The requirement of Section 154.63 (e) (2) (i) of the Regulations is waived in order to permit Commercial to use calendar year 1976 as the base period in this docket.

(E) An informal conference shall be convened by the Commission staff within 30 days from the date of this order for the purpose of resolving the issues concerning Commercial's claimed capitalization and rate of return. Further procedures, if any, as may be required following conclusion of the conference shall be prescribed by the Presiding Law Judge upon motion by the parties including the staff.

(F) A Presiding Administrative Law Judge, to be designated by the Chief Administrative Law Judge pursuant to 18 CFR 3.5(d), shall be assigned to this proceeding for the purposes set forth in this order and to preside over any hearings which ultimately may be required.

(G) The Secretary shall cause prompt publication of this order to be made in the FEDERAL REGISTER.

By the Commission.

KENNETH F. PLUMB,
Secretary.

[FR Doc.77-28624 Filed 9-28-77;8:45 am]

[6740-02]

[Docket No. ER76-536]

GEORGIA POWER CO.

Notice of Compliance Filing

SEPTEMBER 23, 1977.

Take notice that Georgia Power Company, on July 21, 1977, tendered for filing proposed changes in its FPC Electric Tariff, Original Volume No. 1 (full requirements service rate schedule WR-9). According to Georgia Power, the filing is made to comply with the Settlement Agreement approved by the Commission on July 6, 1977, in this docket.

Georgia Power indicates that copies of the filing were served upon all of the Company's customers who have taken full requirements service under WR-9 and on the Georgia Public Service Commission.

Any person desiring to protest said application should file a protest with the Federal Power Commission, 825 North Capitol Street, NE., Washington, D.C. 20426, in accordance with Sections 1.8 and 1.10 of the Commission's Rules of Practice and Procedure (18 CFR 1.8, 1.10). All such protests should be filed on or before October 5, 1977. Protests will be considered by the Commission in determining the appropriate action to be taken, but will not serve to make protestants parties to the proceeding. Copies of this application are on file with the Commission and are available for public inspection.

KENNETH F. PLUMB,
Secretary.

[FR Doc.77-28639 Filed 9-28-77;8:45 am]

[6740-02]

[Docket No. ES77-59]

GULF STATES UTILITIES CO.

Notice of Application

SEPTEMBER 23, 1977.

Take notice that on September 14, 1977, Gulf States Utilities Company (Applicant) filed an application seeking an order pursuant to Section 204 of the Federal Power Act authorizing the issuance of 700,000 Additional Shares of Common Stock.

Applicant is incorporated under the laws of Texas with its principal business office at Beaumont, Texas, and is engaged in the electric utility business in portions of Louisiana and Texas. Natural gas is purchased at wholesale and distributed at retail in the City of Baton Rouge, Louisiana and vicinity.

The Applicant proposes to issue the Additional Common Stock from time to time pursuant to the provisions of a Dividend Reinvestment and Stock Purchase Plan in accordance with the Commission's Regulations under the Federal Power Act.

The proceeds from the sale of the new securities will be added to the general funds of the Company and will be used among other things, in the Company's construction program and to refund a portion of its short-term notes.

Any person desiring to be heard or to make any protest with reference to said application should on or before October 4, 1977, file with the Federal Power Commission, 825 North Capitol Street, NE., Washington, D.C. 20426, petitions or protests in accordance with the requirements of the Commission's Rules of Practice and Procedure (18 CFR 1.8, 1.10). All protests filed with the Commission will be considered by it in determining the appropriate action to be taken but will not serve to make the protestants parties to the proceeding. Persons wishing to become parties to a proceeding or to participate as a party in any hearing therein must file petitions to intervene in accordance with the Commission's Rules. The Application is on file with the Commission and available for public inspection.

KENNETH F. PLUMB,
Secretary.

[FR Doc.77-28640 Filed 9-28-77;8:45 am]

[6740-02]

[Docket No. ER77-90]

HOLYOKE WATER POWER CO. AND HOLYOKE POWER & ELECTRIC CO.

Notice of Further Extension of Time

SEPTEMBER 23, 1977.

On September 19, 1977, Staff Counsel filed a motion to further extend the time for filing comments on the settlement agreement tendered for filing by Holyoke Water Power Company and Holyoke Power & Electric Company on August 3, 1977, and noticed on August 15, 1977, in the above designated docket. The motion states that all parties have agreed to a three-week extension of time.

Upon consideration, notice is hereby given that the date for filing comments on the tendered settlement agreement is extended to and including October 12, 1977.

KENNETH F. PLUMB,
Secretary.

[FR Doc.77-28641 Filed 9-28-77;8:45 am]

[6740-02]

[Docket No. RI77-34]

MAURICE L. BROWN CO.

Order Granting Petition for Special Relief and Permitting Intervention

SEPTEMBER 21, 1977.

On February 14, 1977, as supplemented on May 18, 1977, Maurice L. Brown Co. (Brown) filed a petition for special relief pursuant to Section 2.76 of the Commission's General Policy and Interpretations (18 CFR § 2.76) for the sale of natural gas to Tennessee Gas Pipeline Co. (Tennessee) from acreage in the Bethany and Carthage Fields, Harrison and Panola Counties, Tex. Brown is a small producer and was issued a small producer certificate in Docket No. CS72-950 on June 14, 1972.

In his petition Brown states that on September 30, 1974, he and Tennessee negotiated amendments to four existing purchase contracts which provided for an increase in rates to 45 cents per Mcf effective September 1, 1974, with an annual escalation of 1 cent per Mcf, in consideration for certain remedial work on compression facilities and gas wells. Brown further states that he collected this increased rate until July 27, 1976, when the Commission in Order No. 553 required small producers to reduce their rates to the applicable just and reasonable ceilings prescribed in Opinion No. 742-A.[1] Brown herein seeks a rate increase from 35 cents per Mcf to 69.1282 cents per Mcf at 14.65 psia.

Notice of Brown's petition was issued on March 1, 1977, and on March 21, 1977, Tennessee filed a petition to intervene stating that it supports Brown's petition for special relief.

Based on its analysis of data submitted by Brown, Staff estimates that 3,144,120 Mcf of gas and 158,945 BBls of plant liquids remain to be produced over a period of ten years, and concludes that the requested special relief rate is warranted.[2] After a careful review of the costs to be incurred and the reserves to be recovered, we conclude that it is in the public interest to grant Brown special relief. We note that Brown further requested

[1] Opinion No. 749-A, "Opinion and Order Denying Rehearing and Reconsideration," issued July 27, 1976.

[2] See Appendix A attached hereto.

an increase to the existing contract rate of 45 cents per Mcf to be effective retroactively to July 27, 1976. In Opinion No. 749, which applies to the subject sales, the Commission provided that special relief increases would only be granted prospectively.[2] Brown has not shown good cause for waiver of this requirement, and therefore we shall deny Brown's request for a retroactive effective date.

The Commission orders: (A) The petition for special relief filed by Brown in Docket No. RI77–34 is hereby granted.

(B) Brown is authorized to collect a total rate of 69.1282 cents per Mcf at 14.65 psia for gas sold to Tennessee from the Bethany and Carthage Fields, Harrison and Panola Counties, Tex., effective on the date of issuance of this order.

(C) The special rate authorized in Ordering Paragraph (B) shall not become effective as provided therein unless Brown files within 30 days of the issuance of this order a contractual amendment authorizing the rate granted herein and a notice of change in rate provided for such special rate.

(D) Tennessee is permitted to intervene in the above-entitled proceeding, subject to the Rules and Regulations of the Commission; *Provided, however,* that its participation shall be limited to matters affecting asserted rights and interests specifically set forth in its petition to intervene; and *Provided, further,* that the admission of Tennessee in the manner provided shall not be construed as recognition by the Commission that Tennessee might be aggrieved because of any order or orders entered in this proceeding, and that Tennessee agrees to accept the record as it now stands.

By the Commission.

KENNETH F. PLUMB,
Secretary.

APPENDIX A

MAURICE L. BROWN CO., DOCKET NO. RI77–34, BETHANY AND CARTHAGE FIELDS, TEX.

Wells Covered by Petition

1. A. Williams Gas Unit No. 1.
2. J. F. Roberts Gas Unit No. 1.
3. Timmins Gas Unit No. 1.
4. Timmins Gas Unit No. 2.
5. Timmins Gas Unit No. A–1.
6. Timmins Gas Unit No. 4.
7. Timmins Gas Unit No. C–1.
8. McJimsey Gas Unit No. 1.
9. Timmins Gas Unit No. 3.
10. Lawless Gas Unit No. 1.
11. Timmins Gas Unit No. A–3.
12. Lawless Oil Unit No. A–1.
13. Timmins Gas Unit No. B–1.
14. Carrie Fort Gas Unit No. 1.
15. A. P. Liston Gas Unit No. 1.
16. Joe Roberson Gas Unit No. 1.
17. Richard Porter Gas Unit No. 1.

[2] Section 2.76(h) of the Regulations.

Maurice L. Brown Co. [Docket No. RI77–34], Bethany and Carthage Fields, Tex.

Unit cost of gas

Line No.	Item (a)	Amount (b)
1	Net working interest volumes:	
2	Gas—thousand cubic feet at 14.65 lb/in²a [1]	2,458,432
3	Plant liquids—barrels [2]	80,997
4	Cost of production:	
5	Return on rate base at 15 pct [3]	$119,048
6	DD&A [4]	125,117
7	Production expense [5]	1,707,864
8	Subtotal	1,952,029
9	Allocated to gas [6]	1,718,176
10	Regulatory expense [7]	2,458
11	Total cost of production	1,720,634
12	Unit cost of gas (cents per thousand cubic feet):	
13	Cost of production [8]	69.99
14	Production tax [9]	5.67
15	Total unit cost	75.66

[1] 3,144,120 M ft³ times 0.782 net working interest.
[2] 158,945 bbl. times 0.782 net working interest times 0.65 producer's share.
[3] Line 17 of sheet 3 times 0.15 times 10-yr project life.
[4] From line 7 of sheet 2.
[5] Based on estimated 1977 production expense of $143,433 escalated 5 pct per year for the first 5 yr of the estimated 10-yr remaining life.
[6] Line 8 times line 12 of sheet 2.
[7] Line 2 times 0.1¢ M ft³ per opinion No. 749.
[8] Line 11 divided by line 2.
[9] 7.5 pct of line 15.

Investment and allocation of costs

Line No.	Item (a)	Amount (b)
1	Investment:	
2	Remaining net book value	$129,454
3	Proposed additional investment	0
4	Total investment	129,454
5	Less salvage value	4,337
6	Depreciable investment	125,117
7	Depreciation per unit of production [1]	$0.050893
8	Allocation of costs (in millions of British thermal units): [2]	
9	Gas [3]	2,473,183
10	Plant liquids [4]	336,462
11	Total	2,809,645
12	Percentage allocated to gas (percent) [5]	88.02

[1] Line 6 divided by 2,458,432 M ft³.
[2] Modified British thermal unit method per opinion No. 749.
[3] 2,458,432 M ft³ times 1.006 MMBtu/M ft³.
[4] 80,997 bbl. times 4.154 MMBtu/Bbl. times 1 modifier.
[5] Line 9 divided by line 11.

Appendix B.
Sheet 3 of 3

Maurice L. Brown Company
Docket No. RI77-34
Bethany and Carthage Fields, Texas

Average Investment and Annual Rate Base

Line No.	Year (a)	Annual N.W.I. Production (Mcf) (b)	Beginning of Year Investment (c)	Depreciation 1/ (d)	End of Year Investment (e)	Average Investment 2/ (f)
1.	Average Investment:					
2.	1977	353,769	$129,454	$ 18,004	$111,450	$120,452
3.	1978	322,618	111,450	16,419	95,031	103,241
4.	1979	296,439	95,031	15,087	79,944	87,488
5.	1980	271,481	79,944	13,816	66,126	73,035
6.	1981	248,742	66,126	12,660	53,466	59,796
7.	1982	227,506	53,466	11,578	41,890	47,678
8.	1983	209,193	41,890	10,646	31,244	36,567
9.	1984	190,506	31,244	9,695	21,549	26,397
10.	1985	176,447	21,549	8,980	12,569	17,059
11.	1986	161,731	12,569	8,232	4,337	8,453
12.	Totals	2,458,432		$125,117		$580,166
13.	Average Annual Investment 3/					$ 58,017
14.	Annual Rate Base:					
15.	Average Annual Investment					$ 58,017
16.	Average Annual Working Capital Allowance 4/					21,348
17.	Average Annual Rate Base					$ 79,365

1/ Column (b) times Line 7 of Sheet 2.
2/ Column (c) plus Column (e) divided by 2.
3/ Column (f) of Line 12 divided by 10 year estimated remaining life.
4/ .125 times Line 7 of Sheet 1 divided by 10 year estimated remaining life.

[FR Doc.77-28205 Filed 9-28-77;8:45 am]

[6740-02]

[Docket No. ER77-590]

NORTHERN STATES POWER CO.

Notice of Supplement No. 2

SEPTEMBER 23, 1977.

Take notice that Northern States Power Company (NSPC), on September 19, 1977, tendered Supplement No. 2, dated September 14, 1977, to the Transmission Service Agreement with Renville-Sibley Cooperative Power Association, Minnesota.

NSPC states that the Supplement provides Service Schedule F, which revises rates for Transmission Service from a KWH rate to a KW rate, and Service Schedule A—Class X Firm Power.

NSPC requests an effective date of October 21, 1977.

Any person desiring to be heard or to protest said application should file a petition to intervene or protest with the Federal Power Commission, 825 North Capitol Street NE., Washington, D.C. 20426, in accordance with Sections 1.8 and 1.10 of the Commission's Rules of Practice and Procedure (18 CFR 1.8, 1.10). All such petitions and protests should be filed on or before October 3, 1977. Protests will be considered by the Commission in determining the appropriate action to be taken, but will not serve to make protestants parties to the proceeding. Any person wishing to become a party must file a petition to intervene. Copies of this application are on file with the Commission and are available for public inspection.

KENNETH F. PLUMB,
Secretary.

[FR Doc.77-28642 Filed 9-28-77;8:45 am]

[6740-02]

[Docket No. ER77-591]

NORTHERN STATES POWER CO.

Notice of Cancellation

SEPTEMBER 23, 1977.

Take notice that Northern States Power Company (NSPC) on September 19, 1977, tendered for filing a notice of cancellation terminating the Transmission Service Agreement, as supplemented, with the United States Department of the Interior, Bureau of Reclamation. NSPC indicates that this Agreement is designated NSPC Rate Schedule FPC No. 133.

NSPC states that it is necessary to terminate this Agreement because certain of its provisions are incompatible with the provisions of the new agreements with the preference customers of the Bureau of Reclamation.

NSPC requests an effective date of October 21, 1977, for said cancellation.

Any person desiring to be heard or to protest said filing should file a petition to intervene or protest with the Federal Power Commission, 825 North Capitol Street, N.E., Washington, D.C., 20426, in accordance with Sections 1.8 and 1.10 of the Commission's Rules of Practice and Procedure (18 CFR 1.8 and 1.10). All such petitions or protests should be filed on or before October 3, 1977. Protests will be considered by the Commission in determining the appropriate action to be taken, but will not serve to make protestants parties to the proceeding. Any person wishing to become a party must file a petition to intervene. Copies of this filing are on file with the Commission and are available for public inspection.

KENNETH F. PLUMB,
Secretary.

[FR Doc.77-28643 Filed 9-28-77;8:45 am]

[6740-02]

[Docket No. ER77-592]

NORTHERN STATES POWER CO.

Notice of Interconnection and Interchange Agreement

SEPTEMBER 23, 1977.

Take notice that Northern States Power Company (NSPC), on September 19, 1977, tendered for filing in Interconnection and Interchange Agreement, dated September 15, 1977, with the City of Delano, Minnesota.

NSPC indicates that the Interconnection and Interchange Agreement includes service schedules, which provide for transactions between the parties, similar to the service schedules contained in the Mid-Continent Area Power Pool Agreement.

NSPC requests an effective date of October 21, 1977.

Any person desiring to be heard or to protest said application should file a petition to intervene or protest with the Federal Power Commission, 825 North Capitol Street, NE., Washington, D.C. 20426, in accordance with Sections 1.8 and 1.10 of the Commission's Rules of Practice and Procedure (18 CFR 1.8, 1.10). All such petitions or protests should be filed on or before October 3, 1977. Protests will be considered by the Commission in determining the appropriate action to be taken, but will not serve to make protestants parties to the proceeding. Any person wishing to become a party must file a petition to intervene. Copies of this application are on file with the Commission and are available for public inspection.

KENNETH F. PLUMB,
Secretary.

[FR Doc.77-28644 Filed 9-28-77;8:45 am]

[6740-02]

[Docket No. ER77-593]

NORTHERN STATES POWER CO.

Notice of Municipal Resale Transmission and Transformation Service Agreement

SEPTEMBER 23, 1977.

Take notice that Northern States Power Company (NSPC), on September 19, 1977, tendered for filing a Municipal Resale Transmission and Transformation Service Agreement, dated September 14, 1977, with the City of Ada, Minnesota.

NSPC indicates that the Agreement provides for NSPC to furnish Ada's requirements in excess of Bureau of Reclamation power and energy as Load Pattern Power. NSPC further indicates that the Agreement provides a transformation charge of .7 mill per KWH (the same as in the previous Agreement) and changes the wheeling rate from 2.3 mills per KWH to $11.88 per KW per year.

NSPC requests an effective date of October 21, 1977.

Any person desiring to be heard or to protest said application should file a petition to intervene or protest with the Federal Power Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426, in accordance with Sections 1.8 and 1.10 of the Commission's Rules of Practice and Procedure (18 CFR 1.8, 1.10). All such petitions or protests should be filed on or before October 3, 1977. Protests will be considered by the Commission in determining the appropriate action to be taken, but will not serve to make protestants parties to the proceeding. Any person wishing to become a party must file a petition to intervene. Copies of this application are on file with the Commission and are available for public inspection.

KENNETH F. PLUMB,
Secretary.

[FR Doc.77-28645 Filed 9-28-77;8:45 am]

[6740-02]

[Docket No. ER77-597]

NORTHERN STATES POWER CO.

Notice of Interconnection and Interchange Agreement and Supplement No. 1

SEPTEMBER 23, 1977.

Take notice that Northern States Power Company (Northern States), on September 20, 1977, tendered for filing an Interconnection and Interchange Agreement and a Supplement No. 1, both dated September 16, 1977, with the City of LeSueur, Minnesota.

Northern States indicates that the Interconnection and interchange Agreement includes Service Schedules providing for transactions between the parties similar to those contained in Service Schedules under the Mid-Continent Area Power Pool Agreement. Northern States further indicates that Supplement No. 1 provides for Northern States to supply the City's requirements in excess of 2928 KW as Load Pattern Power. Northern States requests an effective date of October 21, 1977.

Any person desiring to be heard or to protest said application should file a petition to intervene or protest with the Federal Power Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426, in accordance with Sections 1.8 and 1.10 of the Commission's Rules of Practice and Procedure (18 CFR 1.8, 1.10). All such petitions and protests should be filed on or before October 11, 1977. Protests will be considered by the Commission in determining the appro-

priate action to be taken, but will not serve to make protestants parties to the proceeding. Any person wishing to become a party must file a petition to intervene. Copies of this application are on file with the Commission and are available for public inspection.

KENNETH F. PLUMB,
Secretary.

[FR Doc.77-28646 Filed 9-28-77;8:45 am]

[6740-02]

[Docket No. ER77-598]

NORTHERN STATES POWER CO.

Notice of Interconnection and Interchange Agreement and Supplement No. 1

SEPTEMBER 23, 1977.

Take notice that Northern States Power Company (Northern States), on September 20, 1977, tendered for filing an Interconnection and Interchange agreement and a Supplement No. 1, both dated September 16, 1977, with the City of Sleepy Eye, Minnesota.

Northern States indicates that the Interconnection and Interchange Agreement includes Service Schedules providing for transactions between the parties similar to those contained in Service Schedules under the Mid-Continent Area Power Pool Agreement. Supplement No. 1 provides for the delivery of the City's Bureau allocation. Northern States requests an effective date of October 21, 1977.

Any person desiring to be heard or to protest said application should file a petition to intervene or protest with the Federal Power Commission, 825 North Capitol Street, N.E., Washington D.C., 20426, in accordance with Sections 1.8 and 1.10 of the Commission's Rules of Practice and Procedure (18 CFR 1.8 and 1.10). All such petitions and protests should be filed on or before October 11, 1977. Protests will be considered by the Commission in determining the appropriate action to be taken, but will not serve to make protestants parties to the proceeding. Any person wishing to become a party must file a petition to intervene. Copies of this application are on file with the Commission and are available for public inspection.

KENNETH F. PLUMB,
Secretary.

[FR Doc.77-28647 Filed 9-28-77;8:45 am]

[6740-02]

[Docket No. CP77-447]

NORTHWEST PIPELINE CORP.

Notice of Amendment to Application

SEPTEMBER 21, 1977.

Take notice that on September 9, 1977, Northwest Pipeline Corporation (Applicant), P.O. Box 1526, Salt Lake City, Utah 84110, filed in Docket No. CP77-447 an amendment to its application filed in said docket pursuant to Section 7 of the Natural Gas Act setting forth the maximum volume which Applicant would be obligated to transport for IGC Petroleum Company (IGC) at 5,000 Mcf of natural gas per day, all as more fully set forth in the amendment on file with the Commission and open to public inspection.

Applicant indicates that on June 17, 1977, it filed an application in the instant docket requesting authorization to transport up to 5,000 Mcf of natural gas per day in interstate commerce for the account of IGC pursuant to the terms of an agreement dated February 22, 1977 between the two parties. Applicant states that it has, inter alia, agreed to transport certain volumes of natural gas, owned or controlled by IGC, from the supply source which is located in the Rangely Field, Rio Blanco County, Colorado to an existing delivery point where it presently sells and delivers natural gas to Intermountain Gas Company.

It is indicated that Section 2.1 of the agreement dated February 22, 1977, limited the volumes of gas to be transported to the volumes of gas which Applicant is able to accept into its Piceance Creek Gathering Line, and, further, provided that the transportation volumes may be reduced in order for Applicant to transport its own gas in satisfaction of the contract demands of Applicant's customers.

It is indicated that Applicant and IGC have verbally agreed that Applicant would limit its request for transportation authorization to 5,000 Mcf of natural gas per day, and that as evidence of such verbal agreement the two parties have entered into an agreement dated August 2, 1977, which establishes the maximum volume which Applicant would be obliged to transport under the February 22, 1977 (Rangely) agreement at 5,000 Mcf per day. The letter agreement dated August 2, 1977, has the further caveat that Applicant's transportation obligation under the Rangely agreement is not intended to and would not in fact require Applicant to inhibit, erode or otherwise prevent full satisfaction of Applicant's firm contractual demands on its pipeline system, it is said.

Any person desiring to be heard or to make any protest with reference to said amendment should on or before October 12, 1977, file with the Federal Power Commission, Washington, D.C. 20426, a petition to intervene or a protest in accordance with the requirements of the Commission's Rules of Practice and Procedure (18 CFR 1.8 or 1.10) and the Regulations under the Natural Gas Act (18 CFR 157.10). All protests filed with the Commission will be considered by it in determining the appropriate action to be taken but will not serve to make the protestants parties to the proceeding. Any person wishing to become a party to a proceeding or to participate as a party in any hearing therein must file a petition to intervene in accordance with the Commission's Rules. All persons who have heretofore filed need not file again.

KENNETH F. PLUMB,
Secretary.

[FR Doc.77-28637 Filed 9-28-77;8:45 am]

[6740-02]

[Docket No. CP77-613]

PANHANDLE EASTERN PIPE LINE CO. AND TRUNKLINE GAS CO.

Notice of Pipeline Application

SEPTEMBER 21, 1977.

Take notice that on September 9, 1977, Panhandle Eastern Pipe Line Company and Trunkline Gas Company (Applicants), P.O. Box 1642, Houston, Texas 77001, filed in Docket No. CP77-613, a joint application pursuant to Section 7 of the Natural Gas Act and the regulations thereunder for a certificate of public convenience and necessity authorizing the transportation of natural gas on behalf of Northern Natural Gas Company (Northern) all as more fully set forth in the application which is on file with the Commission and open to public inspection.

Trunkline proposes to receive initial quantities of 54,000 Mcf per day for the account of Northern utilizing the capacity of its existing system. Trunkline will redeliver the volumes transported less compressor fuel and certain quantities to be sold to Panhandle, to Northern at Trunkline's Longville, Louisiana compressor station. Such gas will be transported pursuant to a transportation contract dated July 19, 1977, between Applicants and Northern wherein Trunkline will receive the gas at a point of interconnection to be constructed between the facilities of Columbia Gulf Transmission Company (Columbia Gulf) and Trunkline in Acadia Parish, Louisiana (Egan point of receipt), or the point of delivery of gas by Tennessee Gas Pipeline Company for the account of Northern to Trunkline at the existing interconnection between the facilities of Tennessee and Trunkline in Jefferson Davis Parish, Louisiana (Kinder point of receipt) or the point of delivery of gas by Columbia Gulf for Northern's account to Trunkline at a point of interconnection to be constructed between the facilities of Columbia Gulf and Trunkline in St. Mary Parish, Louisiana (Centerville point of receipt), and redeliver at the suction header of Trunkline's Longville, Louisiana compressor station, for further transportation and delivery to Northern at Mullinville, Kansas. Applicants are not at this time requesting authority to utilize the Centerville point of receipt until the necessary arrangements among the parties have been finalized. At that time, Applicants will file for the appropriate Commission authority.

As partial consideration for this transportation service, Northern has agreed to sell to Panhandle up to 20% of the volumes delivered at the points of receipt. For the transportation service between the points of receipt and Trunkline's Longville, Louisiana compressor station, Northern will pay a monthly charge of $18,144 based on transportation of 43,200 Mcf per day. An upward or downward adjustment of 1.39¢ per Mcf will be applied to any deficiency or excess taken.

Applicants also seek authorization to effectuate a transportation agreement between Applicants which provides for the transportation by Trunkline of the gas purchased by Panhandle from Northern, in consideration for said transportation charge of $66,636.

Any person desiring to be heard or to make any protest with reference to said application, on or before October 12, 1977, should file with the Federal Power Commission, Washington, D.C. 20426, a petition to intervene or a protest in accordance with the requirements of the Commission's Rules of Practice and Procedure (18 CFR 1.8 or 1.10). All protests filed with the Commission will be considered by it in determining the appropriate action to be taken, but will not serve to make the protestants parties to the proceeding. Any person wishing to become a party to a proceeding, or to participate as a party in any hearing therein, must file a petition to intervene in accordance with the Commission's Rules.

Take further notice that, pursuant to the authority contained in and subject to the jurisdiction conferred upon the Federal Power Commission by Sections 7 and 15 of the Natural Gas Act and the Commission's Rules of Practice and Procedure, a hearing will be held without further notice before the Commission on this application if no petition to intervene is filed within the time required herein, if the Commission on its own review of the matter finds that a grant of the certificate is required by the public convenience and necessity. If a petition for leave to intervene is timely filed, or if the Commission on its own motion believes that a formal hearing is required, further notice of such hearing will be duly given.

Under the procedure herein provided for, unless otherwise advised, it will be unnecessary for Applicant to appear or be represented at the hearing.

KENNETH F. PLUMB,
Secretary.

[FR Doc.77-28648 Filed 9-28-77;8:45 am]

[6740-02]

[Docket No. CP77-619]

PANHANDLE EASTERN PIPE LINE CO.

Notice of Application

SEPTEMBER 23, 1977.

Take notice that on September 15, 1977, Panhandle Eastern Pipe Line Company (Applicant), 300 Bissonnet, Houston, Tex., and 3444 Broadway, Kansas City, Mo., filed in Docket No. CP77-619 an application pursuant to Section 7 of the Natural Gas Act for a certificate of public convenience and necessity authorizing the construction and operation of additional compressor horsepower and pipelines to be located in Applicant's gas supply area west and southwest of its Haven Compressor Station situated in Reno County, Kans.; and authorizing the construction and operation of additional pipelines to be located in Applicant's Rocky Mountain system situated in Adams and Weld Counties, Colo., all as more fully set forth in the application which is on file with the Commission and open to public inspection.

Applicant indicates that such facilities are required in order to compensate for the natural decline in gas reservoir pressures in the areas of its traditional gas supplies and are necessary to assist Applicant in delivering new gas supplies to its mainline system. Applicant further indicates that the proposed facilities devoted exclusively to the connection of new gas supplies would be in Texas County, Okla., and Weld and Adams Counties, Colo. The proposed facilities for Texas and Cimarron Counties, Okla., Barber County, Kans., Moore, Hansford, Hutchinson, and Carson Counties, Tex., and Morton County, Kans., would serve a two-fold function, it is said. It is stated that these facilities would assist Applicant in maximizing the recovery of natural gas from older reservoirs, and that facilities would also be utilized to connect newly developed sources of natural gas.

Applicant states that it would construct a new 20.3 mile segment of 12-inch pipeline to extend in a generally north and northwest direction from the present Deer Compressor Station to the Sneed Compressor Station. Applicant asserts that this proposed pipeline would provide Applicant with the ability to reroute a portion of the natural gas which presently transverses the South Line, thus reducing the load on this line, and that it would also provide sufficient pipeline capacity to accommodate the new natural gas supplies acquired by Applicant within Carson County, Tex., and provide capacity for additional volumes of natural gas which Applicant anticipates being able to secure within the Carson County area.

It is stated that in conjunction with the construction of the proposed 20.3 mile pipeline, Applicant proposes to modify the Deer Compressor Station by removing the existing 3,100 horsepower of compression and replacing it with 4,200 horsepower of new compression. Applicant requests authorization to relocate the existing Deer Station horsepower as follows: (1) 2,100 horsepower to be relocated to the Southeast Deal Compressor Station, and (2) the remaining 1,000 horsepower to be relocated to the Zofness Compressor Station. The proposed facilities involved in the revamping of the Deer Compressor Station would allow Applicant the flexibility to transport the newly acquired natural gas from the Carson County production areas, and to alleviate line capacity restrictions within the South Line, it is said.

Applicant also requests authorization to retire from service a segment of 22-inch pipeline, 2.9 miles in length, situated in Moore and Hutchinson Counties, Tex., north of Applicant's Sneed Compressor Station. Applicant states that this segment of pipeline has been in service for a number of years, and would require extensive reconditioning or replacement to alleviate deterioration. It is indicated that in order to replace this lost capacity Applicant proposes to construct a 4.2 mile segment of 20-inch pipeline to connect its Sneed to Hansford line with its 18-inch Sunray loop, which it situated south of Applicant's Hansford Compressor Station in Hansford County, Tex. This interconnection would increase the capacity of the Texas System between the Sneed Compressor Station and the Hansford Compressor Station, it is said.

Applicant asserts that the facilities proposed for Weld and Adams Counties, Colo., would allow Applicant to connect an additional 110 new gas wells to its system, with a resulting increase of 43.5 million Mcf per day of new gas supplies. Applicant states that the total cost of the proposed facilities is estimated to be $19,136,000, and that it proposes to finance the cost of this project with internally generated funds and short-term bank borrowings as necessary.

Any person desiring to be heard or to make any protest with reference to said application should on or before October 14, 1977, file with the Federal Power Commission, Washington, D.C. 20426, a petition to intervene or a protest in accordance with the requirements of the Commission's Rules of Practice and Procedure (18 CFR 1.8 or 1.10) and the Regulations under the Natural Gas Act (18 CFR 157.10). All protests filed with the Commission will be considered by it in determining the appropriate action to be taken but will not serve to make the protestants parties to the proceeding. Any person wishing to become a party to a proceeding or to participate as a party in any hearing therein must file a petition to intervene in accordance with the Commission's Rules.

Take further notice that, pursuant to the authority contained in and subject to the jurisdiction conferred upon the Federal Power Commission by Sections 7 and 15 of the Natural Gas Act and the Commission's Rules of Practice and Procedure, a hearing will be held without further notice before the Commission on this application if no petition to intervene is filed within the time required herein, if the Commission on its own review of the matter finds that a grant of the certificate is required by the public convenience and necessity. If a petition for leave to intervene is timely filed, or if the Commission on its own motion believes that a formal hearing is required, further notice of such hearing will be duly given.

Under the procedure herein provided for, unless otherwise advised, it will be unnecessary for Applicant to appear or be represented at the hearing.

KENNETH F. PLUMB,
Secretary.

[FR Doc.77-28649 Filed 9-28-77;8:45 am]

[6740-02]

[Docket No. E-8242]

PUBLIC SERVICE CO. OF OKLAHOMA

Notice of Refund Report

SEPTEMBER 23, 1977.

Take notice that on September 16, 1977, Public Service Company of Oklahoma filed a Statement of Refunds which PSO states were made pursuant to Commission Opinion No. 788 issued in the above docket on February 17, 1977.

PSO further states that the refunds were made according to the attachment to the Applicant's Amended Rate Schedule RE-5, accepted by the Commission on August 16, 1977, as well as certain refunds which were inadvertently omitted from that attachment.

Any person desiring to be heard or to protest said filing should file comments with the Federal Power Commission, 825 North Capitol Street NE., Washington, D.C. 20426, on or before October 12, 1977. Comments will be considered by the Commission in determining the appropriate action to be taken. Copies of this filing are on file with the Commission and are available for public inspection.

KENNETH F. PLUMB,
Secretary.

[FR Doc.77-28650 Filed 9-28-77;8:45 am]

[6740-02]

[Docket No. CP77-365]

SEA ROBIN PIPELINE CO.

Notice of Filing of Original Tariff Sheets

SEPTEMBER 23, 1977.

Take notice that on September 6, 1977, Sea Robin Pipeline Company (Sea Robin), 700 Milam, P.O. Box 1478, Houston, Tex. 77001, tendered for filing, in Docket No. CP77-365, Original Sheet Nos. 343 through 353 to its FPC Gas Tariff, Original Volume No. 2, being an exchange agreement between Sea Robin and Columbia Gas Transmission Corp. It is proposed that these tariff sheets become effective on August 16, 1977.

Sea Robin states that copies of these tariff sheets have been mailed to Columbia Gas Transmission Corp.

Any person desiring to be heard or to make any protest with reference to said application, on or before October 5, 1977, should file with the Federal Power Commission, Washington, D.C. 20426, a petition to intervene or a protest in accordance with the requirements of the Commission's Rules of Practice and Procedure (18 CFR 1.8 or 1.10). All protests filed with the Commission will be considered by is in determining the appropriate action to be taken, but will not serve to make the protestants parties to the proceeding. Any person wishing to become a party to a proceeding, or to participate as a party in any hearing therein, must file a petition to intervene in accordance with the Commission's Rules.

KENNETH F. PLUMB,
Secretary.

[FR Doc.77-28651 Filed 9-28-77;8:45 am]

[6740-02]

[Docket No. RP77-32]

SOUTH GEORGIA NATURAL GAS CO.

Notice of Proposed Revisions in Rate Increase

Take notice that, on September 1, 1977, South Georgia Natural Gas Company (South Georgia) tendered for filing the following substitute revised tariff sheets to its FPC Gas Tariff, First Revised Volume No. 1:

Substitute Fifth Revised Sheet No. 4.
Substitute First Revised Sheet No. 30

South Georgia states that the purpose of these tariff sheets is to incorporate the current purchased gas costs in the rates under suspension in Docket No. RP77-32.

South Georgia states that on February 1, 1977, it filed a general rate increase in Docket No. RP77-32 to become effective on March 1, 1977. By its order issued February 28, 1977, the Commission accepted the revised tariff sheets for filing and suspended their use until August 1, 1977. Additionally, on June 29, 1977, South Georgia filed revised tariff sheets to be effective August 1, 1977. By letter order dated July 28, 1977, the Commission accepted the revised tariff sheets effective August 1, 1977, and directed South Georgia to file sheets to reflect any changes in supplier rates.

South Georgia states that the proposed tariff sheets contain the same costs included in Docket No. RP77-32, modified to reflect reduced gas supplier costs of $226,272. South Georgia requests that the proposed tariff sheets be allowed to be substituted for the tariff sheets previously accepted by the Commission's letter order of July 28, 1977. Since the proposed tariff sheets contain the same costs included in South Georgia's rate filing, South Georgia requests that the Commission grant any waivers as are necessary to allow the proposed tariff sheets to become effective as contemplated by Ordering Paragraph (B) of the Commission's February 28, 1977 order and the Commission's Letter Order dated July 28, 1977.

South Georgia states that copies of its filing were served on all jurisdictional customers, interested state commissions and all other parties to the proceedings in Docket No. RP77-32.

Any person desiring to be heard or to protest said filing should file a petition to intervene or protest with the Federal Power Commission, 825 North Capitol Street NE., Washington, D.C. 20426, in accordance with Sections 1.8 and 1.10 of the Commission's Rules of Practice and Procedure (18 CFR 1.8, 1.10). All such petitions or protests should be filed on or before September 30, 1977. Protests will be considered by the Commission in determining the appropriate action to be taken, but will not serve to make protestants parties to the proceeding. Any person wishing to become a party must file a petition to intervene. Copies of this filing are on file with the Commission and are available for public inspection.

KENNETH F. PLUMB,
Secretary.

[FR Doc.77-28625 Filed 9-28-77;8:45 am]

[6740-02]

[Docket No. ER76-629]

TAMPA ELECTRIC CO.

Notice of Filing

SEPTEMBER 23, 1977.

Take notice that Tampa Electric Co. (Tampa) on August 11, 1977, tendered for filing in compliance with Commission letter order issued July 1, 1976, for wholesale service rendered to Seminole Electric Cooperative under FPC Rate Schedule No. 5: (1) an unadjusted statement of the cost of service in summary form for the period consisting of the 12 months following the initiation of service, and (2) a statement of billing quantities and revenues derived from the rate, with related work papers.

Any person desiring to protest said filing should file a protest with the Federal Power Commission, 825 North Capitol Street NE., Washington, D.C. 20426, in accordance with Sections 1.8 and 1.10 of the Commission's Rules of Practice and Procedure (1 CFR 1.8, 1.10). All protests should be filed on or before October 5, 1977. Protests will be considered by the Commission in determining the appropriate action to be taken, but will not serve to make protestants parties to the proceeding. Copies of this filing are on file with the Commission and are available for public inspection.

KENNETH F. PLUMB,
Secretary.

[FR Doc.77-28652 Filed 9-28-77;8:45 am]

[6740-02]

[Docket No. CI77-712]

TRANSCO EXPLORATION CO.

Notice of Limited-Term Application

SEPTEMBER 23, 1977.

Take notice that on August 5, 1977, Transco Exploration Co. (Applicant), P.O. Box 1396, Houston, Tex. 77001, filed in Docket No. CI77-712 an application for a limited-term certificate of public convenience and necessity with pregranted abandonment covering the sale of gas by Applicant to Transcontinental Gas Pipe Line Corp. (Transco).

Applicant and Transco have entered into two contracts, both being dated July 29, 1977, covering the sale and purchase of gas from the Stephenson Point Field, Galveston County, Tex. Pursuant to both agreements, Applicant proposes to sell natural gas to Transco from the date of initial delivery thereunder, for the period described below, at an initial base rate of $1.45208 per Mcf at 14.65 psia, to be delivered at a mutually agreeable point in the field. The first contract is a traditional long term contract (Long-Term Contract) and covers gas attributable to 70% of Transco's interest in the reservoirs committed thereunder. It is the subject of an application for public convenience and necessity filed substantially contemporaneously herewith. The second contract (Limited-Term Contract), which is the subject of this application, covers the balance of Applicant's interest in the reserves in question. This

limited-term contract provides for termination upon the occurrence of the event described below.

Under the terms of the Agreement by which Applicant acquired its interest in the Stephenson Point Field, Gulf Oil Corp. (Gulf) retained an overriding royalty interest convertible at Gulf's option after payout from the first well in the field to a 30% working interest. Also under the terms of said Agreement, Applicant is prohibited from creating or incurring any liens, encumbrances or obligations of any kind relative to Gulf's working interest share of production in the event it elects to convert its override.

Transco has advised that its gas supply shortage is very critical and that it needs all available volumes at the earliest possible date.

It appears reasonable and consistent with the public interest in this case to prescribe a period shorter than 10 days for the filing of protests and petitions to intervene. Therefore, any person desiring to be heard or to make any protest with reference to said application should on or before September 30, 1977, file with the Federal Power Commission, Washington, D.C. 20426, a petition to intervene or a protest in accordance with the requirements of the Commission's Rules of Practice and Procedure (18 CFR 1.8 or 1.10). All protests filed with the Commission will be considered by it in determining the appropriate action to be taken but will not serve to make the protestants parties to the proceeding. Any person wishing to become a party to a proceeding or to participate as a party in any hearing therein must file a petition to intervene in accordance with the Commission's Rules.

KENNETH F. PLUMB,
Secretary.

[FR Doc.77-28620 Filed 9-28-77;8:45 am]

[6740-02]

[Docket No. ER77-587]

UTAH POWER AND LIGHT CO.

Notice of Filing

SEPTEMBER 23, 1977.

Take notice that Utah Power and Light Co. (Utah) on September 15, 1977, tendered for filing Revised Sheets in Utah FPC Electric Tariff, Original Volume No. 1 as part of an Amendment to the Interconnection Agreement between Utah and Sierra Pacific Power Co. (Sierra) dated September 12, 1977.

Utah indicates that said Amendment provides for additional amounts of power and energy to be supplied by Utah to Sierra beginning October 1, 1977. Utah further indicates that no additional transmission facilities must be constructed by Utah in connection with the additional service.

Utah requests waiver of the Commission's notice requirements to allow for this filing to become effective as of October 1, 1977.

Any person desiring to be heard or to protest said filing should file a petition to intervene or protest with the Federal Power Commission, 825 North Capitol Street NE., Washington, D.C. 20426, in accordance with Sections 1.8 and 1.10 of the Commission's Rules of Practice and Procedure (18 CFR 1.8, 1.10). All such petitions or protests should be filed on or before October 3, 1977. Protests will be considered by the Commission in determining the appropriate action to be taken but will not serve to make protestants parties to the proceeding. Any person wishing to become a party must file a petition to intervene. Copies of this filing are on file with the Commission and are available for public inspection.

KENNETH F. PLUMB,
Secretary.

[FR Doc.77-28653 Filed 9-28-77;8:45 am]

[6740-02]

[Docket No. ID-1817]

WARREN F. BRECHT

Notice of Application

SEPTEMBER 23, 1977.

Take notice that on September 12, 1977, Warren F. Brecht, filed an application pursuant to Section 305(b) of the Federal Power Act to hold the following positions:

Vice President, The Connecticut Light and Power Co., Public Utility.
Vice President, The Hartford Electric Light Co., Public Utility.
Vice President, Western Massachusetts Electric Co., Public Utility.
Vice President, Holyoke Water Power Co., Public Utility.
Vice President, Holyoke Power and Electric Co., Public Company.

Any person desiring to be heard or to protest said application should file a petition to intervene or protest with the Federal Power Commission, 825 North Capitol Street NE., Washington, D.C. 20426, in accordance with Sections 1.8 and 1.10 of the Commission's Rules of Practice and Procedure (18 CFR 1.8, 1.10). All such petitions or protests should be filed on or before October 11, 1977. Protests will be considered by the Commission in determining the appropriate action to be taken, but will not serve to make protestants parties to the proceeding. Any person wishing to become a party must file a petition to intervene. Copies of this application are on file with the Commission and are available for public inspection.

KENNETH F. PLUMB,
Secretary.

[FR Doc.77-28654 Filed 9-28-77;8:45 am]

[6820-]

GENERAL SERVICES ADMINISTRATION

REGIONAL PUBLIC ADVISORY PANEL ON ARCHITECTURAL AND ENGINEERING SERVICES

Meeting

Pursuant to Pub. L. 92-463, notice is hereby given of a meeting of the Regional Public Advisory Panel on Architectural and Engineering Services, Region 6, from 8 a.m., October 12 through October 13, 1977, Room 181, Federal Building, 1500 East Bannister Road, Kansas City, Mo. The meeting will be devoted to the initial step of the procedures for screening and evaluating the qualifications of architect-engineers under consideration for selection to furnish professional services for the Restoration/Renovation of the U.S. Customhouse (Old Post Office), St. Louis, Mo. The meeting will be open to the public.

Dated: September 2, 1977.

H. SHOENIG,
Acting Regional Administrator.

[FR Doc.77-28729 Filed 9-28-77;8:45 am]

[4110-07]

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

Social Security Administration

AGREEMENTS WITH STATES FOR COVERAGE OF STATE OR LOCAL EMPLOYEES UNDER TITLE II OF THE SOCIAL SECURITY ACT, AS AMENDED

Redelegations of Authority

Pursuant to section 218 of the Social Security Act, as amended (the Act), the Secretary of Health, Education, and Welfare (the Secretary) shall enter into an agreement (coverage agreement) with any State, at the request of that State, and may enter into a coverage agreement with an instrumentality of two or more States, at the request of the instrumentality, for the purpose of extending the social insurance system established by title II of the Act to services performed by individuals as employees of such State or any of its political subdivisions, or as employees of such instrumentality. Under the various provisions of section 218, the Secretary is vested with authority to perform a number of significant functions incident to such coverage agreements. For the most part, the Secretary has delegated this authority to the Commissioner of Social Security (the Commissioner), with authority to redelegate. The Commissioner's authority in this area is derived from the Secretary's general delegation of authority to the Commissioner with respect to those functions vested in the Secretary by the provisions of title II of the Act (33 FR 5836-37, dated April 16, 1968). However, the delegation of authority to the Commissioner, under section 218 of the Act, does have certain limitations, which are specified in paragraphs 2, 5, 6, and 10 of section 8-E (Reservations of Authority) in the amendment to the Statement of Organization, Functions and Delegations of Authority for the Social Security Administration (SSA) which was published in the FEDERAL REGISTER on April 16, 1968, as cited above.

As appropriate, the Commissioner previously redelegated various authorities under section 218 of the Act to subordinate positions in SSA.

I. Notice is hereby given that the Commissioner has rescinded all prior redelegations of authority to SSA positions which pertain to functions related to coverage agreements with States under section 218 of the Act.

II. Notice is also hereby given that the Commissioner has concurrently redelegated the following authorities under section 218 of the Act to the SSA positions enumerated below:

A. AUTHORITY

To enter into agreements (coverage agreements) with States and with instrumentalities of two or more States, for the purpose of extending the social insurance system established by title II of the Act to services performed by employees of States or their political subdivisions, or by employees of instrumentalities of two or more States.

Delegates	*Scope of Authority*
1. Deputy Commissioner of Social Security.	1.–3. Nationwide.
2. Associate Commissioner for Program Operations and Deputy Associate Commissioner for Program Operations.	
3. Director and Deputy Director, Bureau of Retirement and Survivors Insurance, Office of Program Operations.	
4. Regional Commissioners.	4. Regionwide.

CONDITIONS

1. The Commissioner reserves authority to enter into those coverage agreements which establish precedents, involve unusual situations or have major policy implications.

2. The Office of the General Counsel, Department of Health, Education, and Welfare (HEW), must find no legal objections to the form or substance of each proposed coverage agreement.

B. AUTHORITY

To execute modifications of existing coverage agreements with States and with instrumentalities of two or more States.

Delegates	*Scope of Authority*
1. Deputy Commissioner of Social Security.	1.–3. Nationwide.
2. Associate Commissioner for Program Operations and Deputy Associate Commissioner for Program Operations.	
3. Director and Deputy Director, Bureau of Retirement and Survivors Insurance, Office of Program Operations.	
4. Regional Commissioners.	4.–5. Regionwide.
5. Assistant Regional Commissioners, Retirement and Survivors Insurance.	

CONDITIONS

1. The Commissioner reserves authority to enter into modifications of existing coverage agreements which involve unusual situations or have major policy implications.

2. The HEW Office of the General Counsel must find no legal objections to the form or substance of each proposed modification to an existing coverage agreement.

C. AUTHORITY

To terminate coverage agreements pertaining to dissolved coverage groups, where States waive the notice and hearing requirements of subsection (g)(2) of section 218, and consent to removal of dissolved coverage groups from agreements.

Delegates	*Scope of Authority*
1. Deputy Commissioner of Social Security.	1.–3. Nationwide.
2. Associate Commissioner for Program Operations and Deputy Associate Commissioner for Program Operations.	
3. Director and Deputy Director, Bureau of Retirement and Survivors Insurance Office of Program Operations.	
4. Regional Commissioners.	4.–5. Regionwide.
5. Assistant Regional Commissioners, Retirement and Survivors Insurance.	

D. AUTHORITY

To terminate coverage agreements, where States waive the notice and hearing requirements of subsection (g)(2) of section 218, and consent to removal of coverage groups from agreements because the groups are no longer able to legally function, although not legally dissolved.

Delegates	*Scope of Authority*
1. Deputy Commissioner of Social Security.	1.–3. Nationwide.
2. Associate Commissioner for Program Operations and Deputy Associate Commissioner for Program Operations.	
3. Director and Deputy Director, Bureau of Retirement and Survivors Insurance, Office of Program Operations.	
4. Regional Commissioners.	4.–5. Regionwide.
5. Assistant Regional Commissioners, Retirement and Survivors Insurance.	

E. AUTHORITY

Pursuant to subsection (e)(1) of section 218, authority to grant extensions of time for filing contribution returns and wage reports, where States request extensions and show "good cause" for such action.

Delegates	*Scope of Authority*
1. Deputy Commissioner of Social Security.	1.–3. Nationwide.
2. Associate Commissioner for Program Operations and Deputy Associate Commissioner for Program Operations.	
3. Director and Deputy Director, Bureau of Retirement and Survivors Insurance, Office of Program Operations.	

F. AUTHORITY

Pursuant to subsection (s) of section 218, authority to grant extensions of the time allowed States to file additional information or argument, upon application by States and upon their showing "good cause," in connection with requests for review of:

1. Assessments of amounts owed by States;

2. Disallowances of State claims for credits or refunds of overpayments; and

3. Allowances of credits or refunds to States for overpayments.

Delegates	*Scope of Authority*
1. Deputy Commissioner of Social Security.	1.–3. Nationwide.
2. Associate Commissioner for Program Operations and Deputy Associate Commissioner for Program Operations.	
3. Director and Deputy Director, Bureau of Retirement and Survivors Insurance, Office of Program Operations.	

G. AUTHORITY

To enter into agreements with States to extend the time limits for assessments, credits or refunds of amounts due, pursuant to subsections (g)(4)(A) and (r)(2)(A) of section 218.

Delegates	*Scope of Authority*
1. Deputy Commissioner of Social Security.	1.–3. Nationwide.
2. Associate Commissioner for Program Operations and Deputy Associate Commissioner for Program Operations.	
3. Director and Deputy Director, Bureau of Retirement and Survivors Insurance, Office of Program Operations.	
4. Regional Commissioners.	4.–5. Regionwide.
5. Assistant Regional Commissioners, Retirement and Survivors Insurance.	
6. District Managers, Office of Program Operations, serving as liaison between SSA and State agencies (parallel District Managers).	6. Those agreements within the jurisdiction of parallel District Managers.

CONDITION

Authority to enter such agreements which extend the statutory period for more than one year, or which extend a period previously extended, may only be exercised by delegates, in headquarters or in the field, at or above the level of Assistant Regional Commissioner, Retirement and Survivors Insurance.

III. The rescissions and concurrent redelegations of the subject authorities specified in sections I. and II. above, respectively, are effective as of the date

that this notice is published in the FEDERAL REGISTER. Further redelegations are not authorized.

IV. To the extent that any actions taken by incumbents of the positions described in section II. above involve, in effect, the exercise of the concurrent redelegations specified in section II. prior to the date that this notice of these redelegations is published in the FEDERAL REGISTER, such actions are hereby affirmed and ratified.

Dated: September 21, 1977.

J. B. CARDWELL,
Commissioner of Social Security.

[FR Doc.77-28623 Filed 9-28-77;8:45 am]

[4110-]

Office of the Secretary

HOSPITAL INSURANCE PROGRAM

Inpatient Hospital Deductible for 1978 Under Part A of Title XVIII of the Social Security Act

Pursuant to authority contained in section 1813(b)(2) of the Social Security Act (42 U.S.C. 1395e(b)(2)), as amended, I hereby determine and announce that the dollar amount which shall be applicable for the inpatient hospital deductible, for purposes of section 1813(a) of the Act, as amended, shall be $144 in the case of any spell of illness beginning during calendar year 1978. Changes in the amount of the inpatient hospital deductible also affect certain other cost-sharing provisions under the hospital insurance program. Thus, for spells of illness beginning in 1978, the daily coinsurance for the 61st through the 90th days of hospitalization (one-fourth the inpatient hospital deductible) will be $36; the daily coinsurance for the lifetime reserve days (one-half of the inpatient hospital deductible) will be $72; and the daily coinsurance for the 21st through the 100th days of extended care services (one-eighth of the inpatient hospital deductible) will be $18. A statement of the actuarial bases employed in arriving at the amount of $144 for the inpatient hospital deductible for 1978 follows.

The law provides that for spells of illness beginning in calendar years after 1968 the inpatient hospital deductible shall be equal to $40 multiplied by the ratio of (1) the current average per diem rate for inpatient hospital services for the calendar year preceding the year in which the promulgation is made (in this case, 1976) to (2) the current average per diem rate for such services for 1966. The law also provides that such curent average per diem rates shall be determined by the Secretary of Health, Education, and Welfare from the best available information as to the amounts paid under the program for inpatient hospital services furnished during the year, by hospitals who are qualified to participate in the program and for whom there is an agreement to do so, for individuals who are entitled to benefits as a result of insured status under the Old-Age, Survivors, and Disability Insurance program or the Railroad Retirement program. In addition, the law provides that if the amount so determined is not an even multiple of $4, it shall be rounded to the nearest multiple of $4.

The data used to make the necessary computations of the current average per diem rates for calendar years 1966 and 1976 are derived from individual inpatient hospital bills that are recorded for all beneficiaries in the records of the program. These records show for each bill the number of inpatient days of care, the interim reimbursement amount, and the iterim cost (the sum of interim reimbursement, deductible, and coinsurance). Tabulations are prepared which summarize the data from these bills by the year in which the care was provided. The resulting average interim per diem rates accurately reflect interim costs on an accrual basis.

In order to properly reflect the change in the average per diem hospital cost under the program, the average interim cost (as shown in the tabulations) must be adjusted for the effect of final cost settlements made with each provider of services after the end of its accounting year to adjust the reimbursement to that provider from the amount paid during that year on an interim basis to the actual cost of providing covered services to beneficiaries. To the extent that the ratio of final cost to interim cost is different in the current year than it was in 1966, the increase in average iterim per diem costs will not coincide with the increase in actual cost that has occurred. The best data available indicate that this adjustment, however, does not change the computation of the deductible for 1978 by enough to result in an amount different from the $144 stated.

The current average per diem rate for inpatient hospital services for calendar year 1976, based on tabulated interim costs, is $136.63; the corresponding amount for 1966 is $37.92. These averages are based on approximately 90 million days of hospitalization in 1976 and 30 million days in 1966 (last 6 months of the year). The ratio of the 1976 rate to the 1966 rate is 3.60:3 when this ratio is multiplied by $40, an amount of $144.-12 is produced, which must be rounded to $144. Accordingly, the inpatient hospital deductible for spells of illness beginning during calendar year 1978 is $144.

I am bound by the law to promulgate these increases. I do not like them. I am anxious for enactment of the cost containment legislation that will put a break on the spiraling costs of hospital care. This is the only way to reduce annual increases in the amount of money Medicare patients must pay.

Dated: September 26, 1977.

JOSEPH A. CALIFANO, Jr.,
Secretary.

[FR Doc.77-28823 Filed 9-28-77;8:45 am]

[4210-01]

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

Office of the Secretary

[Docket No. N-77-506]

PRIVACY ACT OF 1974

Proposed Amendment to Routine Uses

AGENCY: Department of Housing and Urban Development.

ACTION: Proposed Amendment.

SUMMARY: This amendment proposes amendment of routine uses to HUD's Privacy Act system of records designated Accounting Records (HUD/DEPT-2). It also adds to the categories of individuals, of records and of record sources applicable to this system of records.

DATES: Interested persons may submit comments on or before October 27, 1977.

ADDRESS: Rules Docket Clerk, Room 5218, Department of Housing and Urban Development, 451 Seventh Street SW., Washington, D.C. 20410.

FOR FURTHER INFORMATION CONTACT:

Mr. Harold Rosenthal, Departmental Privacy Act Officer, Room 3176, Department of Housing and Urban Development, 451 Seventh Street SW., Washington, D.C. 20410 202-755-5192.

SUPPLEMENTARY INFORMATION: The proposed additions to the system of records are being made to delineate more accurately the types of records contained in this record system. The additions are an amplification rather than an alteration or expansion of the scope of this system. They were not previously included because of an oversight. The Office of Management and Budget advised that a Report of Intention to Alter an Existing System of Records to Congress is not required.

The proposed additions to the Accounting Records system follow:

Categories of individuals covered by the system:

Builders
Developers
Contractors
Appraisers
Individuals writing to the Department
Employees on HUD/FHA projects
Investors
Subjects of audits
Closing agents
Former mortgagors and purchasers of HUD-owned properties

Categories of records in the system:

Mortgagors, builders, and contractors financial statements, records, and and audit reports
Requests for termination of home mortgage insurance
Deposit and receipt records
Detailed accounting reports concerning diversified payments, disbursements, and canceled checks

Repurchases of mortgages
Adjustments from recoveries, manual adjustments, and defaults
Acquired home property records
Sales closing papers
Statement of accounts
Tax records

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

Internal Revenue Service—for reporting of sales commissions
Department of Justice—for Statements of Accounts and Statements of Net Investments
Department of Labor and taxing authorities—for audit, accounting and financial reference
Mortgagees—for accounting and financial reference

Record source categories:

Other individuals
Credit bureaus
HUD personnel

It should also be noted that "local housing authorities" is being deleted from the categories of individuals identified by this system. The prefatory statement containing General Routine Uses applicable to all of the Department's systems of records was published at 41 FR 4457 (October 8, 1976). Appendix A which lists the addresses of HUD's field offices was published at 41 FR 50523 (November 16, 1976).

The Department has determined that an Environmental Impact Statement is not required with respect to this notice. A copy of the Finding of Inapplicability is available for inspection in the Office of the Rules Docket Clerk, Room 5218, Department of Housing and Urban Development, Washington, D.C. 20410.

Accordingly, HUD proposes to amend the routine uses of system HUD/DEPT–2 to read as follows:

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement. Other routine uses: U.S. Treasury—for disbursements and adjustments thereof; Internal Revenue Service—for reporting of sales commissions; Department of Justice—for Statements of Account and Statements of Net Investment; General Accounting Office, General Services Administration, Department of Labor, local housing authorities, and taxing authorities—for audit, accounting and financial reference purposes; mortgagee lenders—for accounting and financial reference purposes.

For the convenience of the public, the Department is printing below the system of records of its entirety including the modifications as proposed above.

HUD/DEPT–2

System name:

Accounting Records.

System location:

Many Regional, Area, Insuring and Service Offices, as well as the Headquarters, maintain files of this type. For a complete listing of these offices, with addresses, see Appendix A.

Categories of individuals covered by the system:

Mortgagors; mortgagees; grant/project and loan applicants and recipients; HUD personnel; vendors; brokers; bidders; managers; tenants; individuals within Disaster Assistance Programs; builders, developers, contractors, and appraisers; individuals writing to the Department; employees on HUD/FHA projects; investors; subjects of audit; closing agents; former mortgagors and purchasers of HUD-owned properties.

Categories of records in the system:

Lease and loan collection register; schedule of payments receivable and received; premiums due; claim files and fee billing statements; escrow and certificates of deposit files; cash flow and budget control files; earnest money register; purchase order log; imprest fund; area managers' accounting records; restitution, maintenance, and market expenses; distributive shares records; salary; savings bonds; bills of lading; vouchers; invoices; receipts; cancelled checks; mortgagors, builders and contractors financial statements, records and audit reports; requests for termination of home mortgage insurance; deposit and receipt records; detailed accounting reports concerning diversified payments, disbursements, and cancelled checks; repurchases of mortgages; adjustments from recoveries, manual adjustments, and defaults; acquired home property records; sales closing papers; statements of accounts; tax records.

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

See Routine Uses paragraphs in prefatory statement. Other routine uses: U.S. Treasury—for disbursements and adjustments thereof; Internal Revenue Service—for reporting of sales commissions; Department of Justice—for Statements of Account and Statements of Net Investments; General Accounting Office, General Services Administration, Department of Labor, Local housing authorities, and taxing authorities—for audit, accounting, and financial reference purposes; mortgagee lenders—for accounting and financial reference purposes.

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

Storage:

Desks; safes; locked file cabinets; central files; bookcases; ledger trays and binders; tables.

Retrievability:

By Social Security number; name; case file number; schedule number; audit number; control number; receipt number; voucher number; contract number; address.

Safeguards:

Security checks; limited authorization and access; security guards.

Retention and disposal:

GSA schedules of retention and disposal; destruction after six months; transfer to either a Federal Records Center or Archives.

System manager and address:

Director, Office of Organization and Management Information, Department of Housing and Urban Development, 451 Seventh Street SW., Washington, D.C. 20410.

Notification procedure:

For information, assistance, or inquiry about existence of records, contact the Privacy Act Officer at the appropriate location, in accordance with 24 CFR Part 16. A list of all locations is given in Appendix A.

Record access procedures:

The Department's rules for providing access to records to the individual concerned appear in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Act Officer at the Department of Housing and Urban Development, 451 Seventh Street SW., Washington, D.C. 20410.

Contesting record procedures:

The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR Part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) in relation to contesting contents of records, the Privacy Act Officer at the appropriate location. A list of all locations is given in Appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Appeals Officer, Office of General Counsel, Department of Housing and Urban Development, 451 7th Street SW., Washington, D.C. 20410.

Record source categories:

Subject individuals; other individuals; current or previous employers; credit bureaus; financial institutions; private corporations or firms doing business with HUD; Federal and non-federal government agencies; HUD personnel.

AUTHORITY: 5 U.S.C. 552a, 88 Stat, 1896; Sec. 7(d) Department of HUD Act (42 U.S.C. 3535(d)).

Issued at Washington, D.C., September 14, 1977.

JAY JANIS,
Under Secretary of Housing and Urban Development.

[FR Doc.77-28404 Filed 9-28-77;8:45 am]

[4310–10]

DEPARTMENT OF THE INTERIOR

Bonneville Power Administration

ALUMAX DRAFT ENVIRONMENTAL STATEMENT

Public Meeting

The Bonneville Power Administration hereby gives notice of a public meeting to be held to discuss the "Alumax Draft Environmental Statement." The purpose of this meeting is to solicit comments from the public with respect to information contained in the impact statement. The meeting will be held Tuesday, November 22, 1977, at 7 p.m. at the Hermiston Junior High School, 199 E. Ridgeway, Hermiston, Oregon.

For those who cannot attend this meeting, written comments will be accepted until the end of the comment period, which is December 14, 1977.

Additional or clarifying information may be obtained by writing or calling the Environmental Manager, Bonneville Power Administration, P.O. Box 3621, Portland, Oregon 97208; toll-free 1–800–547–8088; in Oregon 1–800–452–8429.

Dated: September 26, 1977.

WILLIAM H. CLAGETT,
Assistant Administrator.

[FR Doc.77-28618 Filed 9-28-77;8:45 am]

[4310–10]

ROLE OF BPA IN THE PACIFIC NORTHWEST POWER SUPPLY SYSTEM

Draft Environmental Statement; Information Workshops and Public Response Meetings

The Bonneville Power Administration hereby gives notice of a series of information workshops and public response meetings to be held to discuss the Environmental Statement entitled "The Role of Bonneville Power Administration In The Pacific Northwest Power Supply System, Including Its Participation In The Hydro-Thermal Power Program: A Program Environmental Statement And Planning Report" (Role EIS). Eleven workshops are scheduled throughout the Northwest to introduce the public to some of the regional electric energy issues covered in the Role EIS, followed by eleven public response meetings to solicit comments from the public on the content of the Role EIS.

The workshops start at 7 p.m., local time. Their locations and dates are as follows:

Portland Oreg	Sheraton Motor Inn, Lloyd Center, Pacific Suite, Thursday, October 6.
Eugene, Oreg	Eugene Hotel, Colonade Room, Wednesday, October 12.
Seattle, Wash	Seattle Center, Orcas-Lopez Room, Thursday, October 13.
Olympia, Wash	Tumwater Washington, Tyee Motor Inn, Makah Room, Tuesday, October 18.
Spokane, Wash	Ridpath Motor Inn, W. 515 First, Empire Ballroom B, Wednesday, October 19.
Wenatchee, Wash	Wenatchee High School, Thursday, October 20.
Kalispell, Mont	Outlaw Inn, 1701 Highway 93 South, Remington Room, Tuesday, October 25.
Missoula, Mont	Village Motor Inn, 100 Madison Avenue, Lewis & Clark Room, Wednesday, October 26.
Boise, Idaho	Rodeway Inn, 29th & Chinden Blvd., Room 704, Tuesday, November 1.
Idaho Falls, Idaho	School District No. 91, Administration Bldg., Media Center, Downstairs, 690 John Adams Parkway, Wednesday, November 2.
Tri-Cities, Wash	Pasco, Washington, Red Lion Motor Inn, 2525 N. 20th, Room A, Thursday, November 3.

The public response meetings start at 7 p.m., local time. Their locations and dates are as follows:

Seattle, Wash	Seattle Center, Conference Room A, Tuesday, November 1.
Olympia, Wash	Tumwater, Washington, Tyee Motor Inn, Quinault - Nisqually Room, Wednesday, November 2.
Spokane, Wash	Ridpath Motor Inn, W. 515 First, Empire Ballroom B, Wednesday, November 2.
Wenatchee, Wash	Wenatchee High School, Thursday, November 3.
Kalispell, Mont	Outlaw Inn, 1701 Highway 93 South, Remington Room, Wednesday, November 9.
Portland, Ore	Sheraton Motor Inn, Lloyd Center, Washington-Oregon Room, Wednesday, November 9.
Eugene, Oreg	Lane County Courthouse, Harris Hall, Thursday, November 10.
Missoula, Mont	Holiday Inn, Hwy 10 W. & Mullan Road, Tudor Room, Thursday, November 10.
Boise, Idaho	Rodeway Inn, 29th & Chinden Blvd., Room 704, Tuesday, November 15.
Idaho Falls, Idaho	City Council Chambers, 2nd Floor, Electric Division Building, 140 South Capital Avenue, Wednesday, November 16.
Tri-Cities, Wash	Pasco, Washington, Red Lion Motor Inn, 2525 N. 20th, Room A, Monday, November 21.

For those who cannot attend any of these meetings, written comments will be accepted until the end of the comment period, which is December 14, 1977.

Additional or clarifying information may be obtained by writing or calling the Environmental Manager, Bonneville Power Administration, P. O. Box 3621, Portland, Oregon 97208; toll-free 1–800–547–8088; in Oregon, 1–800–452–8429.

Dated: September 26, 1977.

WILLIAM H. CLAGETT,
Assistant Administrator.

[FR Doc.77-28617 Filed 9-28-77;8:45 am]

[4310–]

Bureau of Land Management

[C–8840]

COLORADO

Order Providing for Opening of National Forest Lands

1. By Powersite Cancellation No. 273 of November 26, 1971, the U.S. Geological Survey cancelled Powersite Classifications No's 102 of May 14, 1925 and 441 of January 23, 1958 as to the following describing lands:

GUNNISON NATIONAL FOREST

NEW MEXICO PRINCIPAL MERIDIAN

T. 51 N., R. 1 E.,
Sec. 11, lots 1 and 2;
Sec. 13, SW¼NW¼ and NW¼SW¼;
Sec. 14, SE¼SE¼;
Sec. 23, SE¼NW¼, N½SW¼ and SW¼SW¼;
Sec. 27, NE¼NE¼;
Sec. 28, NE¼NE¼.

SIXTH PRINCIPAL MERIDIAN

T. 15 S., R. 83 W.,
Sec. 1, lots 3 and 4, S½NW¼ and SW¼;
Sec. 2, lots 1 to 4, inclusive, S½N½ and S½;
Sec. 3, S½;
Sec. 4, SE¼;
Sec. 8, lots 1 to 5, inclusive;
Sec. 9, lots 1 to 7, inclusive, N½N½, SE¼NE¼, SE¼SW¼, NE¼SE¼ and S½SE¼;
Sec. 10;
Sec. 11, N½;
Sec. 17, lots 1 and 2.
T. 15 S., R. 84 W.,
Sec. 13, S½SW¼ and SE¼;
Sec. 21, E½NE¼, E½SW¼ and NE¼SE¼;
Sec. 22, NW¼NW¼, E½SW¼ and SE¼;
Sec. 23, NE¼NE¼, S½NE¼ and S½;
Sec. 24, NW¼;
Sec. 26, NW¼NW¼;
Sec. 27, N½NE¼, SW¼NE¼, E½NW¼, SW¼NW¼ and S½;
Sec. 28, SW¼NE¼ and SE¼;
Sec. 29, W½NE¼, NW¼, NW¼SW¼ and E½SW¼;
Sec. 30, N½NE¼ and SE¼NE¼;
Sec. 31, SW¼SE¼ and E½SE¼;
Sec. 32, N½, SW¼ and N½SE¼;
Sec. 33, N½NE¼, NE¼NW¼ and NW¼SW¼;
Sec. 34, NE¼, N½NW¼ and NE¼SE¼;
Sec. 35, SW¼NW¼ and NW¼SW¼;

The areas described aggregate 7,410.13 acres in Gunnison County.

Of the lands described above, the following, aggregating 240 acres, are privately owned:

SIXTH PRINCIPAL MERIDIAN

T. 15 S., R. 84 W.,
Sec. 27, SW¼NW¼ and NW¼SW¼;
Sec. 28, SW¼NE¼, N½SE¼ and SW¼SE¼.

2. At 10:00 a.m. on October 26, 1977, the above described lands shall be open to such forms of appropriation as may by law be made of national forest lands, subject to valid existing rights and the provisions of existing withdrawals.

Inquiries concerning the lands should be addressed to the State Director Bureau of Land Management, 700 Colorado State Bank Building, 1600 Broadway, Denver, Colo. 80202.

ANDREW W. HEARD, Jr.,
Acting Chief,
Branch of Adjudication.

SEPTEMBER 20, 1977.

[FR Doc.77-28596 Filed 9-28-77;8:45 am]

[4310-10]

IDAHO

Filing of Idaho Revised Protraction Diagram

SEPTEMBER 23, 1977.

Notice is hereby given that effective at and after 10 a.m. on November 7, 1977, the following revised protraction diagram is officially filed of record in the Idaho State Office, Branch of Records, Room 390, Federal Building, Boise, Idaho 83724. In accordance with Title 43, Code of Federal Regulations, this revised protraction will become the basic record for describing the land for all authorized uses. Until this date and time, the diagram has been placed in open files and is available to the public for information only.

IDAHO REVISED PROTRACTION DIAGRAM NO. 30

BOISE MERIDIAN, APPROVED SEPTEMBER 12, 1977

T. 25 N., Rs. 20, 21, 22 and 23 E.
T. 26 N., Rs. 20, 21 and 22 E.

Copies of this diagram are for sale at two dollars ($2.00) each by the Branch of Records Office, Bureau of Land Management, P.O. Box 042, Federal Building, 550 West Fort Street, Boise, Idaho 83724.

ROSE GASTELL,
Chief, Branch of Records,
Boise, Idaho.

[FR Doc.77-28686 Filed 9-28-77;8:45 am]

INTERNATIONAL JOINT COMMISSION UNITED STATES AND CANADA

POPLAR RIVER WATER QUALITY

Public Hearings

The International Joint Commission has been requested by the Governments of Canada and the United States, under letters dated August 2, 1977, to examine into and report upon the water quality of the Poplar River, including the transboundary water quality implications of the thermal power station of the Saskatchewan Power Corporation and its ancillary facilities, including coal mining, at a site near Coronach, Saskatchewan, and to make recommendations which would assist the Governments in ensuring that the provisions of Article IV of the Boundary Waters Treaty of 1909 are honored.

The Commission, as part of its procedures to initiate the requested study and in order to obtain the preliminary views of interested parties, will conduct public hearings at the times and places noted below. The Commission is establishing an International Board to carry out the necessary studies and the views of the public will be taken into account by the Board in the preparation and implementation of its plan of study.

At the hearings, opportunity will be given to anyone, either on his own behalf or in a representative capacity, to offer pertinent information which may assist the Commission in its inquiry. The Commission may limit the time allotted to each witness. If a written statement will take longer than ten (10) minutes to present, it is suggested the witness present a summary statement, submitting his full statement for the record. While not mandatory, written statements are desirable to supplement oral testimony and to ensure accuracy of the record. When a written statement is presented, thirty (30) copies should be provided, if possible, for distribution to the news media and for Commission purposes.

Copies of the letter of References to the Commission are available on request from the undersigned.

Times and places of hearings

Catholic Center, Scobey, Mont.	Nov. 2, 1977	1:30 p.m.
Regina Inn, Victoria and Broad Sts., Regina, Saskatchewan.	Nov. 3, 1977	10 a.m.

WILLIAM A. BULLARD,
Secretary, U.S. Section,
International Joint Commission.

DAVID G. CHANCE,
Secretary, Canadian Section,
International Joint Commission.

SEPTEMBER 23, 1977.

[FR Doc.77-28685 Filed 9-28-77;8:45 am]

[4410-01]

DEPARTMENT OF JUSTICE

Drug Enforcement Administration

CONTROLLED SUSTANCES IN SCHEDULE II

Proposed 1977 Revised Aggregate Production Quota—Thebaine for Conversion

Section 306 of the Comprehensive Drug Abuse Prevention and Control Act of 1970 (21 U.S.C. 826) requires the Attorney General to establish aggregate production quotas for all controlled substances in Schedules I and II each year. This responsibility has been delegated to the Administrator of the Drug Enforcement Administration pursuant to § 0.100 of Title 28 of the Code of Federal Regulations.

On November 11, 1976, a notice of the final aggregate production quota for this substance was published in the FEDERAL REGISTER (41 FR 49873-74). Since the finalization of this quota, DEA has been made aware of an increased need for Thebaine for Conversion to be used exclusively in the manufacture of three non-controlled drugs, nalbuphine hydrochloride, naloxone hydrochloride and naltrexone hydrochloride. This increased need was not anticipated when establishing the previously finalized aggregate production quota for Thebaine for Conversion. The Administrator has now deemed that it is necessary to allow the production during 1977 of additional amounts of Thebaine for Conversion which will be utilized expressly for conversion to non-controlled substances. Therefore the Administrator of the Drug Enforcement Administration, under the authority vested in the Attorney General by Section 306 of the Comprehensive Drug Abuse Prevention and Control Act of 1970 (21 U.S.C. 826) and delegated to the Administrator by § 0.100 of Title 28 of the Code of Federal Regulations does hereby propose the following change of the aggregate production quota for 1977 for Thebaine for Conversion expressed in grams in terms of anhydrous base:

Basic class	1977 aggregate production quota	
	Previously finalized	Proposed revised
Thebaine for conversion	726,000	1,168,000

All interested persons are invited to submit their comments and objections in writing regarding this proposal. The comments or objections should state with particularity the issues concerning which the person desires to be heard. Comments and objections should be submitted in quintuplicate to the Administrator, Drug Enforcement Administration, United States Department of Justice, Washington, D.C. 20537, Attention: DEA Federal Register Representative, and must be received by October 26, 1977. If a person believes that one or more issues raised by him warrant a full adversary-type hearing, he should so state and summarize the reasons for his belief.

In the event that comments or objections to this proposal raise one or more issues which the Administrator finds, in his sole discretion, warrants a full adversary-type hearing, the Administrator shall order a public hearing in the FEDERAL REGISTER summarizing the issues to be heard and setting the time for the hearing.

Dated: September 23, 1977.

PETER B. BENSINGER,
Administrator.

[FR Doc.77-28707 Filed 9-28-77;8:45 am]

NATIONAL ADVISORY COUNCIL ON EXTENSION AND CONTINUING EDUCATION

COMMITTEE MEETING

AGENCY: National Advisory Council on Extension and Continuing Education.

ACTION: Notice.

SUMMARY: This notice sets forth the schedule and proposed agenda of a forthcoming meeting of the Title I Committee of the National Advisory Council on Extension and Continuing Education. It also describes the functions of the Council. Notice of this meeting is required under the Federal Advisory Committee Act (5 U.S.C. Appendix 1, 10(a)(2). This document is intended to notify the general public of their opportunity to attend.

DATE: Meeting: October 17, 1977, from 9:00 a.m.–12:00 noon.

ADDRESS: The Las Vegas Marina Hotel, Las Vegas, Nev., 3805 Las Vegas Boulevard, South; Las Vegas, Nev. 89109.

FOR FURTHER INFORMATION CONTACT:

James A. Turman, Executive Director, National Advisory Council on Extension and Continuing Education, 425 Thirteenth Street NW., Suite 529, Washington, D.C. 20004. Telephone: (202–376–8888).

The National Advisory Council on Extension and Continuing Education is authorized under Public Law 89–329. The Council is required to report annually to the President, the Congress, the Secretary of HEW, and the Commissioner of Education in the preparation of general regulations and with respect to policy matters arising in the administration of Part A of Title I (HEA) including policies and procedures governing the approval of State plans under Section 105; and to advise the Assistant Secretary of HEW on Part B (Lifelong Learning activities) of the title. The Council is required to review the administration and effectiveness of all federally supported extension and continuing education programs.

The meeting of the Title I Committee will be open to the public beginning at 9 a.m., and ending at 12 noon, on October 17, 1977. This meeting will be held at the Las Vegas Marina Hotel, Las Vegas, Nev.

The proposed agenda includes:

(1) A focus on the development of a study to measure the effectiveness of State-level administration of the Title 1–A Program (Community Service and Continuing Education)

(2) An assessment of Federal-level administrative procedures affecting the program.

(3) Participation by Committee members in the proceedings of the 12 Annual National Conference of Title 1–A (HEA) State Administrators, from 12:00 noon to 5:00 p.m. on October 17, and from 9:00 a.m. to 5.00 p.m. on October 18.

All records of Council proceedings are available for public inspection at the Council's staff office, located in Suite 529, 425 13th Street NW., Washington, D.C.

Dated: September 23, 1977.

JAMES A. TURMAN,
Executive Director.

[FR Doc.77–28597 Filed 9–28–77;8:45 am]

NATIONAL ADVISORY COUNCIL ON ECONOMIC OPPORTUNITY

RURAL AND URBAN COORDINATION COMMITTEES

Meeting

SEPTEMBER 26, 1977.

Pursuant to section 10 of the Federal Advisory Committee Act of 1972 notice is hereby given that the Committees on Rural and Urban Coordination of the National Advisory Council on Economic Opportunity will hold a two-day joint meeting on October 19 and 20, 1977 at the Council office at 1725 K Street, NW (room 405), Washington, D.C. The meeting will begin at 9:30 a.m. and is open to the public.

The purpose of the meeting is to discuss the committees' research activities to-date.

The National Advisory Council on Economic Opportunity is authorized by section 605 of the Community Services Act to advise the President and the Director of the Community Services Administration on policy matters arising under the administration of the Act and to review the effectiveness and operations of programs under the Act.

Records shall be kept of all proceedings and shall be available for public inspection at the office of the National Advisory Council on Economic Opportunity.

WALTER B. QUETSCH,
Executive Director.

[FR Doc.77–28700 Filed 9–28–77;8:45 am]

NATIONAL AERONAUTICS AND SPACE ADMINISTRATION

[Notice (77–63)]

NASA HISTORICAL ADVISORY COMMITTEE

Meeting

The above named committee will meet from 8:45 AM to 4:00 PM November 4, 1977, at Langley Research Center, Hampton, Va. (Library, rm. 301). Except for the closed session (2:00 to 2:55 PM), the public will be admitted up to the seating capacity of the room, which is about 25 persons.

The committe will review NASA historical activities of the past year, status of current projects, and possible future projects. Possible relationships between NASA and university history departments, and between NASA and museums of technology, will be investigated.

During the closed session, the committee will consider and make recommendations on candidates for undertaking various NASA historical activities. The personal and professional qualifications of the candidates, who are not members of the committee, will be candidly discussed and appraised. Public discussion of these matters would invade the privacy of the candidates and other individuals involved. Since this committee session will be concerned throughout with matters listed in 5 U.S.C. 552b(c)(6), it has been determined that the session will be closed to the public.

For further information, call Monte D. Wright, 202–755–3612.

KENNETH R. CHAPMAN,
Assistant Administrator for Department of Defense and Interagency Affairs.

SEPTEMBER 23, 1977.

[FR Doc.77–28586 Filed 9–28–77;8:45 am]

[Notice (77–64)]

SPACE PROGRAM ADVISORY COUNCIL (SPAC), LIFE SCIENCES COMMITTEE

Meeting

The SPAC Life Sciences Committee will meet on November 1–2, 1977, at NASA Headquarters, 400 Maryland Avenue, Washington, DC 20546. The meeting will be held in Room 5026, Federal Office Building 6. Members of the public will be admitted on a first come first served basis, up to the seating capacity of the room, which is about 60 persons.

The SPAC Life Sciences Committee serves in an advisory capacity only. In this capacity, it is concerned with man in relation to space travel, with exobiology, and with the influence of the space environment on other life forms. Its academic interests include: physiology, behavior, clinical aerospace medicine, microbiology, radiobiology, biochemistry, plant biology nutrition and food technology, exobiology, biology of gravity and rhythms, ecology, and biotechnology. The current Chairman is Dr. G. Donald Whedon. There are 16 members.

The following list sets forth the approved agenda and schedule for the November 1–2, 1977, meeting of the Life Sciences Committee. For further information, please contact Dr. S. P. Vinograd: Area Code 202–755–3723.

NOVEMBER 1, 1977

Time	*Topic*
0800–0820	Administrative. (Purpose: To inform the Committee members of views and comments of the Chairman on intervening events, actions, and anticipated requirements, approve the minutes of the last meeting, and carry out Committee business.)
0820–0900	NASA Life Sciences Overview. (Purpose: Briefing by the NASA Director for Life Sciences on events, progress, issues, and status of the program.)

Time	Topic
0900–0950	NAS Summer Study Discussion. (Purpose: Report of Committee members who served as liaison representatives at the Space Science Board summer study, comments by NASA attendees, and discussion.)
1000–1100	Biological Issues for Space Experiments. (Purpose: Briefing by the Director of Biological Sciences on Community consensus and world activity concerning the major biological issues which can be resolved by space flight experiments.)
1100–1200	Viking Science Status Report. (Purpose: To inform the Committee of the current status of scientific activity and thinking on the Viking findings.)
1300–1330	Task Team Report of Vestibular SR&T Review. (Purpose: The Committee Task Team appointed by the Chairman to serve as liaison representatives at the recent AIBS review of NASA Space Motion Sickness Research will report their impressions.)
1330–1430	Closed Ecological Life Support System (CELSS) (Purpose: To report the intervening progress of this effort, as requested by the Committee; to report the transactions of the summer study of this subject held at the Ames Research Center.)
1440–1540	Biomedical Technology Utilization. (Purpose: To Brief the Committee in greater detail on the specific biomedical applications efforts of the NASH Technology Utilization Program, per Committee request.)
1540–1700	Committee Work. (Purpose: The remainder of the meeting will be devoted to the preparation of a Committee document containing its recommendations to NASA on future directions for the Life Sciences.)

NOVEMBER 2, 1977

Time	Topic
0800–1530	Committee Work.

SEPTEMBER 23, 1977.

KENNETH R. CHAPMAN,
Assistant Administrator for Department of Defense and Interagency Affairs, National Aeronautics and Space Administration.

[FR Doc.77-28588 Filed 9-28-77;8:45 am]

[Notice (77-62)]

SPACE SCIENCE STEERING COMMITTEE OUT-OF-ECLIPTIC (OOE) MISSION AD HOC ADVISORY SUBCOMMITTEE

Meeting

The above mentioned advisory Subcommittee will meet at the National Aeronautics and Space Administration, 400 Maryland Avenue, Washington, DC, on October 18–21, 1977, in Room F6004 from 8:30 am to 5:30 pm each day.

The Subcommittee section will discuss, evaluate and categorize proposals for participation in an Out-of-Ecliptic Mission Science Working Team and subsequently in the mission when it is officially approved as a joint National Aeronautics and Space Administration and European Space Agency flight project.

Throughout the Subcommittee sessions the professional qualifications of the proposers, the merits of their proposed flight investigations and the associated instrumentation, and the potential scientific contribution of the proposers to the mission will be candidly discussed and appraised. Discussion of these matters in a public session would invade the privacy of the proposers and the other individuals involved.

Since the Subcommittee sessions will be concerned throughout with matters listed in 5 U.S.C. 552b(c)(6), it has been determined that the sessions should be closed to the public.

For further information please contact Dr. Adrienne F. Timothy, National Aeronautics and Space Administration, Washington, D.C. 20546, Telephone 202–755–3821.

KENNETH R. CHAPMAN,
Assistant Administrator for Department of Defense and Interagency Affairs.

SEPTEMBER 23, 1977.

[FR Doc.77-28587 Filed 9-28-77;8:45 a.m.]

[7555-01]

NATIONAL SCIENCE FOUNDATION

ADVISORY COUNCIL TASK GROUP NO. 1

Meeting

In accordance with the Federal Advisory Committee Act, Pub. L. 92–463, the National Science Foundation announces the following meeting:

Name: Task Group No. 1 of the NSF Advisory Council.
Place: Room 536, National Science Foundation, 1800 G Street NW., Washington, D.C. 20550.
Date: October 17, 1977.
Time: 9 a.m.
Type of meeting: Open.
Contact person: Ms. Margaret L. Windus, Executive Secretary, NSF Advisory Council, National Science Foundation, Room 518, Washington, D.C. 20550, telephone 202–632–4384.
Purpose of Task Group: The purpose of the Task Group, composed of members of the NSF Advisory Council, is to provide the full Council with a mechanism to consider numerous issues of interest to the Council that have been assigned by the National Science Foundation.
Summary minutes: May be obtained from the Committee Management Coordination Staff, Division of Personnel and Management, Room 248, National Science Foundation, Washington, D.C. 20550.
Agenda: To consider the problems or potential problems of the coming decade that may threaten the viability of universities as centers for basic research; what present NSF programs are likely to have an impact on these problems; and what new programs or changes in existing NSF programs might be desirable to assist universities in overcoming these problems.

M. REBECCA WINKLER,
Acting Committee Management Officer.

SEPTEMBER 26, 1977.

[FR Doc.77-28661 Filed 9-28-77;8:45 am]

[7555-01]

INTERNATIONAL DECADE OF OCEAN EXPLORATION PROPOSAL REVIEW PANEL

Meeting

In accordance with the Federal Advisory Committee Act, as amended, Pub. L. 92–463, the National Science Foundation announces the following meeting:

Name: Proposal Review Panel for the Office for the International Decade of Ocean Exploration, Ad Hoc Subpanel for the CUEA Project.
Date and time: October 17–21, 1977, 9 a.m. to 5 p.m.
Place: Pepper Tree Motor Hotel, 3850 State St., Santa Barbara, Calif. 93105.
Type of meeting: Closed.
Contact person: Mr. Feenan D. Jennings, Head, Office for the International Decade of Ocean Exploration, Room 605, National Science Foundation, Washington, D.C. 20550, telephone 202–632–7356.
Purpose of panel: To provide the IDOE Proposal Review Panel members with additional expertise in the review and evaluation of proposals relating to oceanographic research related to Coastal Upwelling Ecosystem Studies (CUEA).
Agenda: Detailed review and evaluation of proposals for support of the CUEA Project.
Reason for closing: The proposals being reviewed include information of a proprietary or confidential nature, including technical information; financial data, such as salaries; and personal information concerning individuals associated with the proposals. These matters are within exemptions (4) and (6) of 5 U.S.C. 522(c), Government in the Sunshine Act.
Authority to close meeting: This determination was made by the Committee Management Office pursuant to provisions of section 10(d) of Pub. L. 92-463. The Committee Management Officer was delegated the authority to make such determinations

by the Acting Director, NSF, on February 18, 1977.

M. REBECCA WINKLER,
Acting Committee Management Officer.

SEPTEMBER 26, 1977.

[FR Doc.77-28662 Filed 9-28-77;8:45 am]

[7555-01]

INTERNATIONAL DECADE OF OCEAN EXPLORATION PROPOSAL REVIEW PANEL

Meeting

In accordance with the Federal Advisory Committee Act, as amended, Pub. L. 92-463, the National Science Foundation announces the following meeting:

Name: Proposal Review Panel for the Office for the International Decade of Ocean Exploration, Ad Hoc Subpanel for the PRIMA Project.

Date and time: October 19, 1977, 9 a.m. to 5 p.m.

Place: National Science Foundation, 1800 G Street NW., Room 643, Washington, D.C. 20550.

Type of meeting: Closed.

Contact person: Mr. Feenan D. Jennings, Head, Office for the International Decade of Ocean Exploration, Room 605, National Science Foundation, Washington, D.C. 20550, telephone 202-632-7356.

Purpose of panel: To provide the IDOE Proposal Review Panel members with additional expertise in the review and evaluation of proposals relating to oceanographic research related to Pollutant Responses in Marine Animals (PRIMA).

Agenda: Detailed review and evaluation of proposals for support of the PRIMA Project.

Reason for closing: The proposals being reviewed include information of a proprietary or confidential nature, including technical information; financial data, such as salaries; and personal information concerning individuals associated with the proposals. These matters are within exemptions (4) and (6) of 5 U.S.C. 552b(c), Government in the Sunshine Act.

Authority to close meeting: This determination was made by the Committee Management Officer pursuant to provisions of section 10(d) of Pub. L. 92-463. The Committee Management Officer was delegated the authority to make such determinations by the Acting Director, NSF, on February 18, 1977.

M. REBECCA WINKLER,
Acting Committee Management Officer.

SEPTEMBER 26, 1977.

[FR Doc.77-28663 Filed 9-28-77;8:45 am]

[7555-01]

INTERNATIONAL DECADE OF OCEAN EXPLORATION PROPOSAL REVIEW PANEL

Meeting

In accordance with the Federal Advisory Committee Act, as amended, Pub. L. 92-463, the National Science Foundation announces the following meeting:

Name: Proposal Review Panel for the Office for the International Decade of Ocean Exploration, Ad Hoc Subpanel for the CEPEX Project.

Date and time: October 20, 1977.

Place: National Science Foundation, 1800 G Street NW., Room 730, Washington, D.C. 20550.

Type of meeting: Closed.

Contact person: Mr. Feenan D. Jennings, Head, Office for the International Decade of Ocean Exploration, Room 605, National Science Foundation, Washington, D.C. 20550, telephone 202-632-7356.

Purpose of panel: To provide the IDOE Proposal Review Panel members with additional expertise in the review and evaluation of proposals relating to oceanographic research related to Controlled Ecosystem Populations Experiment (CEPEX).

Agenda: Detailed review and evaluation of proposals for support of the CEPEX project.

Reason for closing: The proposals being reviewed includes information of a proprietary or confidential nature, including technical information; financial data, such as salaries; and personal information concerning individuals associated with the proposals. These matters are within exemptions (4) and (6) of 5 U.S.C. 552b(c), Government in the Sunshine Act.

Authority to close meeting: This determination was made by the Committee Management Officer pursuant to provisions of Section 10(d) of Pub. L. 92-463. The Committee Management Officer was delegated the authority to make such determinations by the Acting Director, NSF, on February 18, 1977.

M. REBECCA WINKLER,
Acting Committee Management Officer.

SEPTEMBER 26, 1977.

[FR Doc.77-28664 Filed 9-28-77;8:45 am]

[7590-01]

NUCLEAR REGULATORY COMMISSION

ABNORMAL OCCURRENCE EVENT

Loss and Recovery of Radioactive Source and Probable Overexposure

Section 208 of the Energy Reorganization Act of 1974, as amended, required the NRC to disseminate information on abnormal occurrences (i.e., unscheduled incidents or events which the Commission determines are significant from the standpoint of public health and safety). The following incident was determined to be an abnormal occurrence using the criteria published in the FEDERAL REGISTER on February 24, 1977 (42 FR 10950). Appendix A (Example I, C, 1) of the Policy Statement notes that a loss of licensed material under certain circumstances can be considered an abnormal occurrence. In addition, Example I, A, 2 of Appendix A notes that an exposure exceeding 0.5 rem in one calendar year to an individual in an unrestricted area can be considered an abnormal occurrence.

Date and place. On July 21, 1977, AMF Tuboscope, Inc., Houston, Tex., reported that an Iridium sealed source of approximately 400 millicuries (NRC licensed material) was missing from their warehouse in Oklahoma City, Okla.

Nature and probable consequences. The source was contained in a locked shielded container (the camera part in an isolog unit used in measuring pipe thickness). The isolog unit was last used by the licensee on July 11, 1977, and discovered to be missing on July 18, 1977. The loss received extended media coverage in the Oklahoma City area and a reward was offered by the licensee.

The camera part of the isolog unit, with the source removed, was found on August 14, 1977, in a field approximately ten miles from Oklahoma City. On August 16, 1977, representatives from the State of Oklahoma located the unshielded source (which emits radiation similar to x-rays) under a dresser in the apartment of a man and his wife in Oklahoma City. The man's brother was a former employee of AMF Tuboscope.

In June 1977, the man in whose apartment the source was found, made an allegation of radiation injury to the U.S. Department of Labor as a result of work with a pipe thickness measuring company. The NRC investigated this allegation on June 21 and 22, 1977, and found no evidence to substantiate the allegation. Examinations of this man on July 7-9, 1977 at the Rosewood General Hospital in Houston, Tex., and on August 3, 1977, at the Oklahoma University Hospital indicated no evidence of significant radiation injury.

The above individuals (the man, his wife, and the man's brother) denied any knowledge as to how the source came to be in the apartment. NRC estimates of possible exposure are based on the assumption that the source was placed under the dresser on July 18, 1977, and that the man and his wife were exposed to the source at varying distances and times each day. Based on these assumptions, the man and his wife each could have received a whole body exposure of about twenty-five (25) rems.

The man and his wife, in whose apartment the source was found, were examined at the Oklahoma University Hospital on August 16, 1977. Preliminary medical results indicate no evidence of significant exposure to the man and his wife, but more selective tests are being conducted. An NRC medical consultant is currently reviewing medical data which is being collected at the Oklahoma University Hospital.

The NRC investigation and the investigations conducted to date by the State of Oklahoma health and police authorities have not established that the man's brother was connected with the unauthorized removal of the isolog unit or subsequent handling of the unshielded source.

Cause or causes. The failure of the licensee to adequately secure the unit in an unrestricted area was a contributing cause for the unauthorized removal of the sealed source, contained in the isolog unit. The isolog unit, which weighed 200 pounds, was stored in an unlocked warehouse located within a fenced area that was not always locked.

The man in whose apartment the source was found has been charged by the Oklahoma City, Okla., authorities with concealment of stolen property. How or why the source was taken from

its storage place and removed from the shielded camera and then subsequently placed in the apartment have not yet been established.

ACTION TAKEN TO PREVENT RECURRENCE

Licensee. The licensed material was secured to prevent access by unauthorized individuals.

NRC. An NRC investigation was conducted on July 22, 1977, and a Notice of Violation of 10 CFR 20.207 for failure to secure licensed materials in an unrestricted area from unauthorized removal was sent to the licensee on August 4, 1977.

An NRC investigation conducted on August 17 and 18, 1977, failed to establish the circumstances relating to the loss and history of the source after it was discovered to be missing. The FBI was notified regarding this incident. Oklahoma City authorities are continuing their investigation.

Dated at Washington, D.C., this 23rd day of September 1977.

For the Nuclear Regulatory Commission.

SAMUEL J. CHILK,
Secretary of the Commission.

[FR Doc.77-28743 Filed 9-28-77;8:45 am]

[7590-01]

[Docket No. 50-324]

CAROLINA POWER & LIGHT CO.

Proposed Issuance of Amendment to Facility Operating License

The U.S. Nuclear Regulatory Commission (the Commission) is considering issuance of an amendment to Facility Operating License No. DPR-62 issued to Carolina Power & Light Co. (the licensee) for operation of the Brunswick Steam Electric Plant, Unit No. 2, located in Brunswick County, N.C.

In accordance with the licensee's request dated September 22, 1977, the amendment would consider a reevaluation of Emergency Core Cooling System (ECCS) cooling performance submitted in accordance with the Commission's Order for Modification of License dated March 11, 1977. This reevaluation not only corrected the errors noted in the March 11, 1977, Order but also included the effect of certain other recently approved model changes in the ECCS evaluation models. These changes would permit an increase in authorized Maximum Average Planar Linear Heat Generation Rates for 7 x 7 fuel and establish such limits for new 8 x 8 fuel, and are the aspects of the amendment covered by this notice.

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 October 31, 1977, 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 Richard E. Jones, Esquire, Carolina Power & Light Co., 336 Fayetteville Street, Raleigh, N.C. 27602, and George F. Trowbridge, Esquire, Shaw, Pittman, Potts & Trowbridge, 1800 M Street NW., Washington, D.C. 20036, the attorneys 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 22, 1977, which is available for public inspection at the Commission's Public Document Room, 1717 H Street NW., Washington, D.C., and at the Southport-Brunswick County Library, 109 West Moore Street, Southport, N.C. 28461.

Dated at Bethesda, Md., this 23rd day of September 1977.

For the Nuclear Regulatory Commission.

A. SCHWENCER,
Chief, Operating Reactors Branch No. 1, Division of Operating Reactors.

[FR Doc.77-28740 Filed 9-28-77;8:45 am]

[7590-01]

COMPARISON OF HEALTH EFFECTS ATTRIBUTABLE TO COAL AND NUCLEAR FUEL CYCLE ALTERNATIVES

Request for Comments on Draft NUREG Document

The Nuclear Regulatory Commission has issued a draft report in its NUREG series. This series presents technical information gathered by the staff or its contractors and consultants on subjects related to the activities of the Nuclear Regulatory Commission and to its responsibilities.

The issued draft, NUREG-0332, "Comparison of Health Effects Attributable to Coal and Nuclear Fuel Cycle Alternatives," describes information collected on this subject by the NRC staff from authoritative sources in the technical community. The information has been included in environmental impact statements and has been presented in hearings before the Atomic Safety and Licensing Boards for several applications for nuclear power plants currently under review.

Comments and suggestions in connection with the use of this information or the content of the document are encouraged at any time. Public comment on this issuance, if received by November 29, 1977, will be particularly useful in preparing the final NUREG document for Commission consideration.

Comments should be sent to the Secretary of the Commission, U.S. Nuclear Regulatory Commission, Washington, D.C. 20555, Attn.: Director, Division of Site Safety and Environmental Analysis.

NUREG reports are available for inspection at the Commission's Public Document Room, 1717 H Street NW., Washington, D.C. Requests for single copies of issued NUREG documents should be made in writing to the USNRC, Washington, D.C. 20555, Attn.: Director, Division of Document Control. Telephone requests cannot be accommodated. NUREG documents are not copyrighted, and Commission approval is not required to reproduce them.

Dated at Bethesda, Md., this 19th day of September 1977.

For the Nuclear Regulatory Commission.

HAROLD R. DENTON,
Director, Division of Site Safety and Environmental Analysis.

[FR Doc.77-28741 Filed 9-28-77;8:45 am]

[Docket No. 50-335]

FLORIDA POWER & LIGHT CO.

Issuance of Amendment to Facility Operating License

The U.S. Nuclear Regulatory Commission (the Commission) has issued Amendment No. 17 to Facility Operating License No. DPR-67, issued to Florida Power & Light Company (the licensee), which revised the license and its appended Technical Specifications for operation of the St. Lucie Plant Unit No. 1 (the facility), located in St. Lucie County, Fla. The amendment is effective as of its date of issuance.

The amendment changed the Technical Specifications for the facility to: (1) Clarify that the containment vacuum relief valve may be operable during refueling, (2) add a feedwater isolation response time requirement and delete the response time for the "Feedwater Flow Reduction to 5 percent" for a reactor trip, (3) provide new figures ("Reactor Coolant System Pressure Temperature Limitations") to comply with Appendix G of 10 CFR 50, (4) modify the administrative time allowed for review and approval of temporary plant procedure changes to be consistent with current NRC requirements, (5) correct the number of spent fuel racks to be consistent with the existing plant design, (6) modify the equation for the power distribution limit by deleting the fuel rod bowing factor of 1.05 consistent with the NSSS vendor analysis, and (7) change the emergency diesel generator load sequence timing requirement to be consistent with the existing plant design.

The applications for the amendment comply with the standards and requirements of the Atomic Energy Act of 1954, as amended (the Act), and the Commission's rules and regulations. The Commission has made appropriate findings as required by the Act and the Commission's rules and regulations in 10 CFR Chapter I, which are set forth in the license amendment. Prior public notice of this amendment was not required since the amendment does not involve a significant hazards consideration.

The Commission has determined that the issuance of this amendment will not result in any significant environmental impact and that pursuant to 10 CFR 51.5(d)(4) an environmental impact statement or negative declaration and environmental impact appraisal need not be prepared in connection with issuance of this amendment.

For further details with respect to this action, see (1) the applications for amendment dated August 16, 1976; October 19, October 29; November 8 (as supplemented by letters dated May 31 and July 6, 1977); March 17, 1977; April 14 and July 7, 1977, (2) Amendment No. 17 to License No. DPR-67, and (3) the Commission's related Safety Evaluation. All of these items are available for public inspection at the Commission's Public Document Room, 1717 H Street, NW., Washington, D.C., and at the Indian River Junior College Library, 3209 Virginia Avenue, Ft. Pierce, Florida 33450. A single copy of items (2) and (3) may be obtained upon request addressed to the U.S. Nuclear Regulatory Commission, Washington, D.C. 20555, Attention: Director, Division of Operating Reactors.

Dated at Bethesda, Maryland, this 8th day of September, 1977.

For the Nuclear Regulatory Commission.

MARSHALL GROTENHUIS,
Acting Chief, Operating Reactors Branch No. 2, Division of Operating Reactors.

[FR Doc.77-28081 Filed 9-28-77;8:45 am]

[7590-01]

[Docket No. 50-247]

INDIAN POINT NUCLEAR GENERATING UNIT NO. 2; CONSOLIDATED EDISON CO. OF NEW YORK, INC.

Availability of Applicant's Environmental Report

Pursuant to the National Environmental Policy Act of 1969 and the regulations of the Commission in 10 CFR Part 51, the Consolidated Edison Co. of New York, Inc., has filed an environmental report dated March 1977 in support of their application to vacate the requirement for termination of operation with once-through cooling set forth in Facility Operating License No. DPR-26 for Indian Point Nuclear Generating Station, Unit No. 2, located in Westchester County, N.Y. The Environmental Report is accompanied by the applicant's final research report entitled, "Influence of Indian Point Unit 2 and Other Steam Electric Generating Plants on the Hudson River Estuary, with Emphasis on Striped Bass and Other Fish Populations."

The application seeks, as principal relief, the removal of certain provisions of the license requiring the termination of operation with the installed once-through cooling system at Indian Point Station, Unit No. 2 and would permit operation with the present cooling system for the remainder of the term of the license. The application also requests, as ancillary relief, that the Commission enlarge the period of interim operation to permit conclusion of the environmental review of the application (including any judicial review that may be sought) before the applicant must go ahead with investment in a cooling tower.

The operating license presently requires the applicant to terminate operation with once-through cooling by May 1, 1982.

The above-mentioned reports are available for public inspection at the Commission's Public Document Room, 1717 H Street NW., Washington, D.C. 20555, and at the White Plains Public Library, 100 Martine Avenue, White Plains, N.Y. 10601. Copies of the report are also being made available at the New York State Division of the Budget, State Capitol, Albany, N.Y., and the Tri-State Regional Planning Commission, 1 World Trade Center, 56 South Street, New York, N.Y.

After the environmental report has been analyzed by the Office of the Nuclear Reactor Regulation, a draft environmental statement will be prepared. The draft statement will also include analyses of the impacts of once-through cooling at Indian Point Unit No. 3, which currently has Consolidated Edison and the Power Authority of the State of New York as co-licensees. Upon preparation of the draft environmental statement, the Commission will, among other things, cause to be published in the FEDERAL REGISTER a summary notice of availability of the draft statement. The summary notice will also contain a statement to the effect that comments of Federal agencies, State and local officials, and members of the public will be made available when received. Upon consideration of comments submitted with respect to the draft environmental statement, the staff will issue a final environmental statement, the availability of which will be published in the FEDERAL REGISTER.

Dated at Bethesda, Md., this 22nd day of September 1977.

For the Nuclear Regulatory Commission.

GEORGE W. KNIGHTON,
Environmental Projects Branch No. 1, Division of Site Safety and Environmental Analysis.

[FR Doc.77-28742 Filed 9-28-77;8:45 am]

[Docket No. 50-219]

JERSEY CENTRAL POWER AND LIGHT CO.

Issuance of Amendment to Provisional Operating License

The U.S. Nuclear Regulatory Commission (the Commission) has issued Amendment No. 24 to Provisional Operating License No. DPR-16 issued to Jersey Central Power & Light Company which revised Technical Specifications for operation of the Oyster Creek Nuclear Generating Station, located in Ocean County, New Jersey. The amendment is effective as of its date of issuance.

The amendment modifies the Technical Specifications to delete specifications and bases applicable to fuel types I and III which are no longer in the Oyster Creek core and to extend the MAPLHGR curves for the fuel types still in the core.

The application for the amendment complies with the standards and requirements of the Atomic Energy Act of 1954, as amended (the Act), and the Commission's rules and regulations. The Commission has made appropriate findings as required by the Act and the Commission's rules and regulations in 10 CFR Chapter I, which are set forth in the license amendment. Prior public notice of this amendment was not re-

quired since the amendment does not involve a significant hazards consideration.

The Commission has determined that the issuance of this amendment will not result in any significant environmental impact and that pursuant to 10 CFR § 51.5(d)(4) an environmental impact statement or negative declaration and environmental impact appraisal need not be prepared in connection with issuance of this amendment.

For further details with respect to this action, see (1) the application for amendment dated June 23, 1977, (2) Amendment No. 24 to License No. DPR–16, and (3) the Commission's related Safety Evaluation. All of these items are available for public inspection at the Commission's Public Document Room, 1717 H Street NW., Washington, D.C. and at the Ocean County Library, Brick Township Branch, 401 Chambers Bridge Road, Brick Town, New Jersey 08723. A copy of items (2) and (3) may be obtained upon request addressed to the U.S. Nuclear Regulatory Commission, Washington, D.C. 20555, Attention: Director, Division of Operating Reactors.

Dated at Bethesda, Maryland, this 19th day of September 1977.

For the Nuclear Regulatory Commission.

GEORGE LEAR,
Chief Operating Reactors Branch No. 3, Division of Operating Reactors.

[FR Doc.77-28082 Filed 9-28-77;8:45 am]

[Docket No. 50-344]

PORTLAND GENERAL ELECTRIC COMPANY, ET AL.

Order Convening the Section 2.752 Conference

Pursuant to 10 CFR 2.752, on October 14, 1977, beginning at 9:30 a.m. (local time) a prehearing conference [1] will be held at the following location:

Federal Building, Conference Room 335, 1220 S.W. 3rd Avenue, Portland, Oreg.

At this conference, among other things, the Board will hear argument upon certain contentions which are identified in another Order being filed this day, and will establish a schedule for further actions in this proceeding.

The public is invited. No limited appearance statements will be taken at this prehearing conference, but will be called for later at the evidentiary hearing.

[1] To the extent indicated in the instant Order, we grant Ms. Garrett's Motion Regarding Prehearing Conference dated August 22, 1977, Ms. Garrett's Motion For Additional Time To Review Applicants' Revisions and Revise Or Supplement Contentions dated September 2, 1977, Mr. McCoy's Motion Regarding Prehearing Conference dated August 24, 1977, and Applicants' Request For Early Prehearing Conference dated September 8, 1977.

It is so ordered.

Dated at Bethesda, Mayland this 20th day of September, 1977.

The Atomic Safety and Licensing Board.

Dr. FREDERICK P. COWAN,
Member.

FREDERICK J. SHON,
Member.

SHELDON J. WOLFE, ESQ.,
Chairman.

[FR Doc.77-28083 Filed 9-28-77;8:45 am]

[Docket No. 50-333]

POWER AUTHORITY OF THE STATE OF NEW YORK

Issuance of Amendment to Facility Operating License and Negative Declaration

The U.S. Nuclear Regulatory Commission (the Commission) has issued Amendment No. 28 to Facility Operating License No. DPR–59, issued to the Power Authority of the State of New York (the licensee), which revised Technical Specifications for operation of the James A. FitzPatrick Nuclear Power Plant (the facility) located in Oswego County, New York. The amendment is effective as of its date of issuance.

The amendment provides for changes in (1) primary containment atmospheric monitor surveillance requirements; (2) radiation level setpoints for various building ventilation systems; and (3) the reactor coolant leakage monitoring system in the drywell.

The application for the amendment complies with the standards and requirements of the Atomic Energy Act of 1954, as amended (the Act), and the Commission's rules and regulations. The Commission has made appropriate findings as required by the Act and the Commission's rules and regulations in 10 CFR Chapter I, which are set forth in the license amendment. Prior public notice of this amendment was not required since the amendment does not involve a significant hazards consideration.

The Commission has prepared an environmental impact appraisal for the revised Technical Specifications and has concluded that an environmental impact statement for this particular action is not warranted because there will be no environmental impact attributable to the action other than that which has already been predicted and described in the Commission's Final Environmental Statement for the facility.

For further details with respect to this action, see (1) the application for amendment submitted by letter dated June 17, 1976, (2) Amendment No. 28 to License No. DPR–59, and (3) the Commission's related Safety Evaluation/Environmental Impact Appraisal. All of these items are available for public inspection at the Commission's Public Document Room, 1717 H Street NW., Washington, D.C. and at the Oswego County Office Building, 46 E. Bridge Street, Oswego, N.Y. A copy of items (2) and (3) may be obtained upon request addressed to the U.S. Nuclear Regulatory Commission, Washington, D.C. 20555, Attention: Director, Division of Operating Reactors.

Dated at Bethesda, Maryland, this 15th day of September 1977.

For the Nuclear Regulatory Commission.

GERALD B. ZWETZIG,
Acting Chief, Operating Reactors Branch No. 4, Division of Operating Reactors.

[FR Doc.77-28084 Filed 9-28-77;8:45 am]

[Docket No. 50-272]

PUBLIC SERVICE ELECTRIC AND GAS CO., ET AL.

Issuance of Amendment to Facility Operating License

The U.S. Nuclear Regulatory Commission (the Commission) has issued Amendment No. 8 to Facility Operating License No. DPR–70, issued to Public Service Electric and Gas Company, Philadelphia Electric Company, Delmarva Power and Light Company and Atlantic City Electric Company (the licensees), which revised the operating license for Salem Nuclear Generating Station, Unit No. 1 (the facility) located in Salem County, New Jersey. The amendment is effective as of July 20, 1977.

The amendment consists of changes to the Technical Specifications which will revise the time limitation that the Boron Injection Tank (BIT) is permitted to be inoperable prior to implementing the requirement for placing the reactor in Hot Standby and to a Shutdown Margin equivalent to 1 percent $\Delta k/k$.

The application for the amendment complies with the standards and requirements of the Atomic Energy Act of 1954, as amended (the Act), and the Commission's rules and regulations. The Commission has made appropriate findings as required by the Act and the Commission's rules and regulations in 10 CFR Chapter I, which are set forth in the license amendment. Prior public notice of this amendment was not required since the admendment does not involve a significant hazards consideration.

The Commission has determined that the issuance of this amendment will not result in any significant environmental impact and that pursuant to 10 CFR 51.5 (d)(4) an environmental impact statement or negative declaration and environmental impact appraisal need not be prepared in connection with issuance of this amendment.

For further details with respect to this action, see (1) the application for amendment dated July 20, 1977 (as supplemented by letter dated August 1, 1977), (2) the Commission's letter to the licensee dated July 21, 1977, (3) Amendment No. 8 to License No. DPR–70 and (4) the Commission's related Safety

Evaluation. All of these items are available for public inspection at the Commission's Public Document Room, 1717 H Street NW., Washington, D.C. and at the Salem Free Public Library, 112 West Broadway, Salem, N.J. A copy of items (2), (3) and (4) may be obtained upon request addressed to the U.S. Nuclear Regulatory Commission, Washington, D.C. 20555, Attention: Director, Division of Operating Reactors.

Dated at Bethesda, Maryland, this 21st day of September 1977.

For the Nuclear Regulatory Commission.

GEORGE LEAR,
Chief, Operating Reactors Branch No. 3, Division of Operating Reactors.

[FR Doc.77-28155 Filed 9-28-77;8:45 am]

REGULATORY GUIDE

Issuance and Availability

The Nuclear Regulatory Commission has issued a new guide in its Regulatory Guide Series. This series has been developed to describe and make available to the public methods acceptable to the NRC staff of implementing specific parts of the Commission's regulations and, in some cases, to delineate techniques used by the staff in evaluating specific problems or postulated accidents and to provide guidance to applicants concerning certain of the information needed by the staff in its review of applications for permits and licenses.

Regulatory Guide 1.133, "Loose-Part Detection Program for the Primary System of Light-Water-Cooled Reactors," describes a method acceptable to the NRC staff for implementing certain regulatory requirements with respect to detecting a potentially safety-related loose part in light-water-cooled reactors during normal operation. The recommended program can, by the early detection of a loose part, provide the time required to minimize damage to reactor coolant system components.

Comments and suggestions in connection with (1) items for inclusion in guides currently being developed or (2) improvements in all published guides are encouraged at any time. Public comments on Regulatory Guide 1.133 will, however, be particularly useful in evaluating the need for an early revision if received by November 25, 1977.

Comments should be sent to the Secretary of the Commission, U.S. Nuclear Regulatory Commission, Washington, D.C. 20555, Attention: Docketing and Service Branch.

Regulatory guides are available for inspection at the Commission's Public Document Room, 1717 H Street NW., Washington, D.C. Requests for single copies of issued guides (which may be reproduced) or for placement on an automatic distribution list for single copies of future guides in specific divisions should be made in writing to the U.S. Nuclear Regulatory Commission, Washington, D.C. 20555, Attention: Director, Division of Document Control. Telephone requests cannot be accommodated. Regulatory guides are not copyrighted, and Commission approval is not required to reproduce them.

(5 U.S.C. 552(a).)

Dated at Rockville, Md., this 20th day of September 1977.

For the Nuclear Regulatory Commission.

ROBERT B. MINOGUE,
Director, Office of Standards Development.

[FR Doc.77-28087 Filed 9-28-77;8:45 am]

REGULATORY GUIDE

Issuance and Availability

The Nuclear Regulatory Commission has issued a new guide in its Regulatory Guide Series. This series has been developed to describe and make available to the public methods acceptable to the NRC staff of implementing specific parts of the Commission's regulations and, in some cases, to delineate techniques used by the staff in evaluating specific problems or postulated accidents and to provide guidance to applicants concerning certain of the information needed by the staff in its review of applications for permits and licenses.

Regulatory Guide 1.132, "Site Investigations for Foundations of Nuclear Power Plants," describes programs acceptable to the NRC staff for evaluating foundation conditions at nuclear power plant sites. The site investigations discussed in this guide apply to both land and offshore sites.

Comments and suggestions in connection with (1) items for inclusion in guides currently being developed or (2) improvements in all published guides are encouraged at any time. Public comments on Regulatory Guide 1.132 will, however, be particularly useful in evaluating the need for an early revision if received by November 28, 1977.

Comments should be sent to the Secretary of the Commission, U.S. Nuclear Regulatory Commission, Washington, D.C. 20555, Attention: Docketing and Service Branch.

Regulatory guides are available for inspection at the Commission's Public Document Room, 1717 H Street NW., Washington, D.C. Requests for single copies of issued guides (which may be reproduced) or for placement on an automatic distribution list for single copies of future guides in specific divisions should be made in writing to the U.S. Nuclear Regulatory Commission, Washington, D.C. 20555, Attention: Director, Division of Document Control. Telephone requests cannot be accommodated. Regulatory guides are not copyrighted, and Commission approval is not required to reproduce them.

(5 U.S.C. 552(a).)

Dated at Rockville, Maryland this 21st day of September 1977.

For the Nuclear Regulatory Commission.

ROBERT B. MINOGUE,
Director, Office of Standards Development.

[FR Doc.77-28088 Filed 9-28-77;8:45 am]

[Docket No. 50-271]

VERMONT YANKEE NUCLEAR POWER CORP.

Issuance of Amendment to Facility Operating License and Negative Declaration

The U.S. Nuclear Regulatory Commission (the Commission) has, pursuant to the Initial Decision of its Atomic Safety and Licensing Board dated August 30, 1977, issued Amendment No. 37 to Facility Operating License No. DPR-28, issued to the Vermont Yankee Nuclear Power Corporation (the licensee), which revised the Technical Specifications for operation of the Vermont Yankee Nuclear Power Station (the facility) located near Vernon, Vermont. The amendment is effective as of its date of issuance.

The amendment revised the Technical Specifications to permit phased replacement of the existing spent fuel storage racks having a capacity of 600 fuel assemblies with new storage racks having a capacity of 2000 fuel assemblies.

The Initial Decision is effective immediately, but is subject to review by an Atomic Safety and Licensing Appeal Board prior to its becoming final. Any decision or action taken by an Atomic Safety and Licensing Appeal Board in connection with the Initial Decision may be reviewed by the Commission.

The application for the amendment complies with the standards and requirements of the Atomic Energy Act of 1954, as amended (the Act), and the Commission's rules and regulations. The Commission has made appropriate findings as required by the Act and the Commission's rules and regulations in 10 CFR Chapter I, which are set forth in the license amendment.

Notice of Proposed Issuance of the Amendment was published in the FEDERAL REGISTER on December 9, 1976 (41 FR 53871). Interventions were sought by and granted in accordance with 10 CFR 2.714 to New England Coalition on Nuclear Pollution, Conservation Society of Southern Vermont and Vermont Public Interest Research Group, collectively (NECNP) as one intervenor; in addition, intervention was granted to the State of Vermont. The State of New Hampshire participated solely as an "interested State" pursuant to 10 CFR 2.715(c). An evidentiary hearing was held on June 21, 1977, following a special prehearing conference held on April 26, 1977, and subsequently the above-referenced Initial Decision was issued August 30, 1977.

The Commission has prepared an Environmental Impact Appraisal (EIA) for this action. The Atomic Safety and Licensing Board concluded in its Initial Decision that the EIA is comprehensive and that authorizing modification of the spent fuel storage pool is not a major

Commission action significantly affecting the quality of the human environment, and therefore, an Environmental Impact Statement is not required.

For further details with respect to this action, see (1) the application for amendment dated November 5, 1976, as supplemented by filings dated February 1, April 4 and 27, May 11, and June 3, 1977, (2) Amendment No. 37 to License No. DPR–28, (3) the Commission's related Safety Evaluation dated June 10, 1977, and Supplement 1 dated June 20, 1977, (4) the Commission's Environmental Impact Appraisal dated June 10, 1977, and Supplement 1 dated June 20, 1977, and (5) the Initial Decision of the Atomic Safety and Licensing Board dated August 30, 1977. All of these items are available for public inspection at the Commission's Public Document Room, 1717 H Street, NW., Washington, D.C., and at the Brooks Memorial Library, 224 Main Street, Brattleboro, Vermont. A copy of items (2), (3), (4), and (5) may be obtained upon request addressed to the U.S. Nuclear Regulatory Commission, Washington, D.C. 20555, Attention: Director, Division of Operating Reactors.

Dated at Bethesda, Md., this 15th day of September 1977.

For the Nuclear Regulatory Commission.

GERALD B. ZWETZIG,
Acting Chief, Operating Reactors Branch No. 4, Division of Operating Reactors.

[FR Doc.77-28085 Filed 9-28-77;8:45 am]

VIRGINIA ELECTRIC & POWER CO.

Proposed Issuance of Amendments to Facility Operating Licenses

Correction

In FR Doc. 77–26861 appearing at page 46431 in the issue for Thursday, September 15, 1977, the following correction should be made.

On page 46431, first column, the date on line 28, should read, "October 17, 1977".

[Docket No. 40–8585]

WYOMING MINERAL CORP. URANIUM RECOVERY FACILITY, SALT LAKE COUNTY, UTAH

Negative Declaration Regarding Issuance of a License

The U.S. Nuclear Regulatory Commission (the Commission) has issued a source material license for the operation of a natural uranium recovery facility by the Wyoming Mineral Corporation at the Kennecott Copper Corporation's Bingham Canyon Mine near Copperton, Utah.

The Commission's Division of Fuel Cycle and Material Safety has prepared an environmental/safety impact appraisal for the operation of the Uranium Recovery Facility. On the basis of this appraisal, the Commission concluded that an environmental impact statement for this particular action is not warranted because there will be no significant environmental impact attributable to the action. The environmental/safety impact appraisal is available for public inspection and copying at the Commission's Public Document Room at 1717 H Street NW., Washington, D.C. 20555.

Dated at Silver Spring, Md., this 15th day of September, 1977.

For the Nuclear Regulatory Commission.

LELAND C. ROUSE,
Chief, Fuel Processing & Fabrication Branch, Division of Fuel Cycle & Material Safety.

[FR Doc.77-28086 Filed 9-28-77;8:45 am]

[4910–58]

NATIONAL TRANSPORTATION SAFETY BOARD

[N–AR 77–39]

SAFETY RECOMMENDATION AND RESPONSES

Availability and Receipt

Railroad Safety Recommandation R–77–28.—The National Transportation Safety Board has recommended that the Federal Railroad Administration promulgate regulations which will establish minimum audible warning requirements for locomotive whistles to provide sufficient warning commensurate with the locomotive's operating speed and direction of travel. The recommendation, issued by letter dated September 19, is designated "Class II, Priority Followup."

The recommendation was issued as a result of investigation into two separate train accidents, both involving St. Louis-San Francisco Railway Company (SL–SF) work trains and pedestrians/trespassers. In one accident, which occurred last December 11 near Sikeston, Missouri, one of two teenagers who were walking along the railroad tracks was struck and killed. Last April 2 near Neelyville, Missouri, one of two young motorbike riders, traveling between the main track and a siding, was struck and killed.

The investigations, in both accidents, revealed that the locomotives were moving backward at approximately 50 mph. The locomotives were equipped with five chime whistles, all five chimes facing forward.

Originally, the Safety Board noted, the SL–SF railroad had some of the chimes of the locomotive whistles facing to the rear for the purpose of recalling the flagman. In the early 1960's, when the need for flag protection was eliminated, SL–SF remounted the whistle, with all five chimes facing forward, to provide a louder warning. When mounted in this manner, however, the effectiveness of the whistle is greatly reduced when the locomotive is moving backward.

The surviving witnesses in both the Sikeston and Neelyville accidents testified that they did not receive any prior warning from the locomotive whistles, even though the engineers were blowing the whistles continuously.

Response from the Federal Aviation Administration to Aviation Safety Recommendations A–77–45 through 47.—Letter of September 9 is in answer to recommendations issued following investigation into the crash last November 26 of a Piper PA–28 some 33 miles northeast of Farmington, New Mexico. Six days elapsed before rescue personnel were able to locate the aircraft wreckage. (See 42 FR 33391, June 30, 1977.)

In answer to recommendation A–77–45, which asked FAA to alert all ATC personnel of the circumstances of this accident and emphasize to them the importance of transmitting to search and rescue personnel all available information on the last known location of a missing aircraft, FAA notes that the use of computer position recording capability for locating lost aircraft is relatively new and still in the development stage. To provide the best usage of existing capabilities while the National Program is being developed, FAA has directed all regions to provide the fullest possible cooperation with the National Rescue Coordination Center (NRCC) in providing computer derived position information.

Recommendation A–77–46 asked FAA to revise the Air Traffic Controller's Handbook, Chapter 8, to include specific instructions to relay to NRCC at Scott Air Force Base, Illinois, information on the last known location of a missing aircraft obtained from the computer-stored radar information. FAA states that in view of limitations that must be considered until the National Program is implemented, it is premature to forecast specific actions that will apply to the Safety Board's recommendations. Program guidance, under development, will encompass the automation methodology function and procedures for coordination with NRCC, FAA states. FAA is coordinating with the Air Force Rescue Coordination Center (AFRCC) at Scott Air Force Base in its documentation and program development effort.

With reference to A–77–47, which recommended that FAA inform the NRCC of the NAS radar system computer capabilities and advise them to include in their procedures provisions for updating more rapidly information on last known positions of missing aircraft, FAA reports close cooperation with the NRCC at Scott Air Force Base in this continuing effort. FAA notes that the procedure for having radar data on aircraft targets recorded on tape where it can be retrieved in the form of a computer print-out was originally developed for testing the new computerized air traffic control system. The technique was extended two years ago to search and rescue use after personnel at the Denver Air Route Traffic Control Center recognized its potential and worked out procedures in cooperation with AFRCC at Scott Air Force Base.

FA states, "At present, special training is needed for the delicate task of tracing

an aircraft flight path on the print-out to the point where it disappears from the radar screen. Currently 15 Air Route Traffic Control Centers have the proper equipment for that purpose. However, we expect that within the next two years the task can be simplified and a new computer technique developed so that all 20 Centers will have the capability of searching for missing aircraft position by means of computer derived information."

Response of City of Cherokee, Alabama, to Pipeline Safety Recommendations P–77–18 through 20.—The September 7 letter from a Cherokee City Commissioner reports on progress in efforts to prevent recurrence of the gas explosion and fire which on July 30, 1977, destroyed a house in Cherokee. One person in the house suffered third-degree burns, was hospitalized, and died four days later. (See 42 FR 44045, September 1, 1977.)

During investigation into the cause of the explosion, the Safety Board recommended that the Cherokee Water and Gas Board: Require, during its current and all future sewer construction programs, the support and protection of its cast-iron gas mains in accord with Federal regulations and in a manner acceptable to the Alabama Public Service Commission (P–77–18); examine, support, and protect where necessary in accord with Federal regulations and acceptable to the Alabama Public Service Commission, those segments of cast-iron gas mains that have been disturbed already by this sewer construction project (P–77–19); and immediately begin to patrol its gas distribution system as frequently as necessary while the potential exists for gas main failure due to settlement (P–77–20).

The Commissioner reports that officials of the Gas Pipeline Safety Division of the Alabama Public Service Commission began their investigation within five hours of the explosion. Guidelines, similar to those issued by the Safety Board on August 22, were set for the city government and water and gas department to follow. The Commissioner states, "Upon our first instructions to monitor the gas system closely to check for leaks, we immediately started observing these instructions and have continued to do so on a day to day basis since that time."

The Commissioner reports that on August 8 the city officials felt it necessary to check the system by all means available and decided to "put the maximum amount of odorant into the system." They believed that it was important to have citizen participation to find any possible leaks in the system. The Commissioner states that the leaks that were reported at that time were only minor in nature and all were promptly repaired.

Further, the Commissioner reports that the City of Cherokee will require that the sewer contractor and the city engineer redo work where gas lines are involved and bring all work up to standard in accordance with a letter dated September 2, 1977, from the Alabama Public Service Commission; a copy of the letter is attached to the Commissioner's letter.

NOTE.—The above notice consists of summaries of a Safety Board recommendation letter made available and recommendation responses received during the week preceding publication of this notice in the FEDERAL REGISTER. The Boards letter in its entirety is available to the general public; single copies are obtainable without charge. Copies of the full text of the response letters may be obtained at a cost of $4.00 for service and 10¢ per page for reproduction. All requests must be in writing, identified by recommendation number and date of publication of this notice. Address inquiries to: Public Inquiries Section, National Transportation Safety Board, Washington, D.C. 20594.

(Secs. 304(a)(2) and 307 of the Independent Safety Board Act of 1974 (Pub. L. 93–633, 88 Stat. 2169, 2172 (49 U.S.C. 1903, 1906)).)

MARGARET L. FISHER,
Federal Register Liaison Officer.

SEPTEMBER 26, 1977.

[FR Doc.77–28677 Filed 9–28–77;8:45 am]

OFFICE OF TELECOMMUNICATIONS POLICY

U.S. INMARSAT PREPARATORY COMMITTEE WORKING GROUP

Meetings

Notice is hereby given that the U.S. INMARSAT Preparatory Committee Working Group will meet at 9:30 A.M., in Room 642, Office of Telecommunications Policy, 1800 G Street, N.W., Washington, D.C. on November 1, 1977, November 22, 1977, December 13, 1977, January 5, 1978 and January 31, 1978.

The principal agenda items will be development of national positions relating to the technical, economic and organizational aspects of the INMARSAT system which will be addressed in meetings of the INMARSAT Preparatory Committee Technical, Economic and Organization Panels in February, 1978.

The meetings will be open to the public; any member of the public will be permitted to file a written statement with the Working Group before or after the meetings.

The names of the members of the Working Group, copies of the agendas, summaries of the meetings and other information pertaining to these meetings may be obtained from William T. Adams, Office of Telecommunications Policy, Washington, D.C. 20504. Tel: 202–395–3782.

L. DANIEL O'NEILL,
Advisory Committee Management Officer.

[FR Doc.77–28585 Filed 9–28–77;8:45 am]

[3110–01]

OFFICE OF MANAGEMENT AND BUDGET

CLEARANCE OF REPORTS

List of Requests

The following is a list of requests for clearance of reports intended for use in collecting information from the public received by the Office of Management and Budget on September 23, 1977 (44 U.S.C. 3509). The purpose of publishing this list in the FEDERAL REGISTER is to inform the public.

The list includes the title of each request received; the name of the agency sponsoring the proposed collection of information; the agency form number(s), if applicable; the frequency with which the information is proposed to be collected; the name of the reviewer or reviewing division within OMB, and an indication of who will be the respondents to the proposed collection.

Requests for extension which appear to raise no significant issues are to be approved after brief notice through this release.

Further information about the items on this daily list may be obtained from the Clearance Office, Office of Management and Budget, Washington, D.C. 20503 (202–395–4529), or from the reviewer listed.

NEW FORMS

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

Alcohol, Drug Abuse, and Mental Health Administration, Female Drug Abusers Reentry Needs Survey, single time, patients, staff in treatment programs, Richard Eisinger, 395–6140.

REVISIONS

ENVIRONMENTAL PROTECTION AGENCY

National Pollutant Discharge System: Monitoring Report, EPA–3320–1, other (see SF–83), NPDES permittees discharging pollutants to waters in United States, Ellett, C. A., 395–5867.

DEPARTMENT OF COMMERCE

Bureau of Census, Selected Electronic and Associated Products, Including Telephone and Telegraph Apparatus, MA–36–N, annually, manufacturers of electronic products, C. Louis Kincannon, 395–3211.

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

Food and Drug Administration, Poisoning Report and Poison Control Information Record, FD–2294, FD–2294C, on occasion, household products and drug manufacturers, Richard Eisinger, 395–6140.

DEPARTMENT OF THE TREASURY

Bureau of Customs, Certificate of Registration, CF–4455, on occasion, exporter-importers, Ellett, C. A., 395–5867.

EXTENSIONS

DEPARTMENT OF COMMERCE

Bureau of Census, Survey of Gallonage Sales of Gasoline, SG2, monthly, retail gasoline service stations, Strasser, A., 395–5967.

DEPARTMENT OF THE TREASURY

Bureau of Customs, Certificate of Registration for Personal Effects Taken Abroad, CF4457, on occasion, travelers, Ellett, C. A., 395–5867.

PHILLIP D. LARSEN,
Budget and Management Officer.

[FR Doc.77–28850 Filed 9–28–77;8:45 am]

[3110-01]

PRIVACY ACT OF 1974

Reports on New Systems

The purpose of this notice is to list reports on new systems filed with the Office of Management and Budget to give members of the public the opportunity to make inquiries about them and to comment on them.

The Privacy Act of 1974 requires that agencies give advance notice to the Congress and the Office of Management and Budget of their intent to establish or modify systems of records subject to the Act (5 U.S.C. 552a(o)). During the period September 5, 1977 through September 16, 1977, the Office of Management and Budget received the following reports on new (or revised) systems of records:

DEPARTMENT OF COMMERCE

System Name: Mailing List & Correspondence File.

Report Date: August 30, 1977.

Point-of-Contact: Mr. Guy W. Chamberlin, Jr., Acting Director, Office of Organization & Management Systems, Department of Commerce, Washington, D.C. 20230.

Summary: This system is proposed to support the White House Conference on Balanced National Growth and Economic Development.

System Name: Marine Mammal, Endangered and Threatened Species Permits and Exemptions Applicants.

Report Date: August 31, 1977.

Point-of-Contact: Mr. Guy W. Chamberlin, Jr., Acting Director, Office of Organization & Management Systems, Department of Commerce, Washington, D.C. 20230.

Summary: The new system will consolidate four related systems maintained by the National Oceanic and Atmospheric Administration.

System Name: Biographical Files.

Report Date: August 31, 1977.

Point-of-Contact: Mr. Guy W. Chamberlin, Jr., Acting Director, Office of Organization and Management Systems, Department of Commerce, Washington, D.C. 20230.

Summary: The purpose of this system is to make available biographical data on Commerce Department personnel to the press, other government agencies, and the general public for public affairs purposes.

System Name: Freedom of Information and Privacy Request Records.

Report Date: August 31, 1977.

Point-of-Contact: Mr. Guy W. Chamberlin, Jr., Acting Director, Office of Organization and Management Systems, Department of Commerce, Washington, D.C. 20230.

Summary: This system will be used for administering the Privacy and Freedom of Information Acts and is intended to clarify for the public how records of requests are maintained by the Department.

System Name: President's and Secretary's Award Nominees.

Report Date: August 31, 1977.

Point-of-Contact: Mr. Guy W. Chamberlin, Jr., Acting Director, Office of Organization and Management Systems, Department of Commerce, Washington, D.C. 20230.

Summary: The purpose of this proposed system is to help administer a new public safety service award program, to enable the Secretary of Commerce to recommend recipients of Presidential and Departmental Public Safety Service Awards.

System Name: Radio Spectrum Management Career Development Program.

Reporting Date: August 31, 1977.

Point-of-Contact: Mr. Guy W. Chamberlin, Jr., Acting Director, Office of Organization & Management Systems, Department of Commerce, Washington, D.C. 20230.

Summary: The purpose of this system is to help administer a new Federal career development program, intended to recruit and train entry, mid- and senior-level spectrum managers.

CENTRAL INTELLIGENCE AGENCY

System Name: Personal and Professional Associates of the Director, CIA; and Supplemental Personnel (Soft) Files.

Report Date: September 1, 1977.

Point-of-Contact: Mr. Gene F. Wilson, Chief, Information and Privacy Staff, Central Intelligence Agency, Washington, D.C. 20505.

Summary: The first named system is intended to assure that information pertaining to professional and personal associates of the Director of Central Intelligence is maintained in a current manner; the latter system supplements the official personnel files and is used by authorized officials for processing or procedural requirements and as a management tool for supervisory officials.

FOREIGN CLAIMS SETTLEMENT COMMISSION

System Name: General War Claims Program.

Report Date: September 10, 1977.

Point-of-Contact: Mr. Francis D. Masterson, Executive Director, Foreign Claims Settlement Commission, Washington, D.C. 20579.

Summary: This system supports a claim program for losses incurred during World War II as a result of military operations or special measures directed against property because of the enemy or alleged enemy character of the owner.

DEPARTMENT OF DEFENSE

System: Litigation Case File.

Report Date: September 12, 1977.

Point-of-Contact: Mr. William Cavaney, Executive Secretary, Defense Privacy Board, Forrestal Building, 1000 Independence Avenue, SW., Washington, D.C. 20341.

Summary: This system to be operated by the Navy, is intended to aid in defense of the U.S., its officers, on employees in civil litigation except that arising in admiralty, patent, Federal Tort Claims Act and matters under the responsibility of the General Counsel's office.

ACTION

System: Outplacement Counseling Talent Bank System.

Report Date: September 14, 1977.

Point-of-Contact: Mr. John F. Nolan, Director, Administrative Services Div., ACTION, Washington, D.C. 20525.

Summary: The purpose of this system is to offer terminating ACTION volunteers counseling regarding opportunities for further education and development.

FEDERAL ENERGY ADMINISTRATION

System: Correspondence Files; Telephone Numbers of FEA officials.

Report Date: September 15, 1977.

Point-of-Contact: John Treanor, Privacy Act Officer, Federal Energy Administration, Washington, D.C. 20461.

Summary: The former system is designated to facilitate the administrative control of FEA correspondence; the latter is a reference of home telephone numbers of senior FEA officials, for use in an emergency.

VELMA N. BALDWIN,
Assistant to the Director for Administration.

[FR Doc.77-28676 Filed 9-28-77;8:45 am]

[8010-01]

SECURITIES AND EXCHANGE COMMISSION

[Rel. No. 9942 (812-4075)]

INTERMENT ASSOCIATION OF CALIFORNIA

Notice of Filing of Application

SEPTEMBER 22, 1977.

In the matter of The Interment Association of California, 925 "L" Street, Suite 315, Sacramento, California 95814 and Alhiser-Wilson Mortuary, 225 So. Broadway, Escondido, California 92025 and California Funeral Services, Inc., 401 W. Channel Islands Blvd., Oxnard, California 93030 and Lavista Cemetery association, P.O. Box 536, National City, California 92050.

Notice is hereby given that the Interment Association of California (the "Association"), on behalf of certain of its members, Alhiser-Wilson Mortuary, California Funeral Services, Inc., and La-Vista Cemetery Association (collectively referred to as "Applicants") filed an application on January 3, 1977 and amendments thereto on April 28, 1977 and on August 18, 1977, for an order, pursuant to Section 6(c) of the Investment Company Act of 1940 ("Act"), exempting Applicants from all the provisions of the Act and the rules and regulations thereunder in connection with (a) completion of installment sales of certain debentures issued by Applicants under existing subscription agreements, and (b) certain outstanding debentures which were sold on an installment basis. All interested persons are referred to the application

on file with the Commission for a statement of the representations contained therein, which are summarized below.

The members of the Association joining as Applicants consist of Chapel of the Chimes Memorial Park, East Lawn Mortuary Co., Forest Lawn Memorial Parks and Mortuaries, Green Acres Memorial Gardens, Hillcrest Memorial Park, Oakdale Memorial Park, Oak Hill Improvement Company, Pacific View Memorial Park, Pierce Brothers Valhalla Memorial Park, Redding Memorial Park, Rose Hills Memorial Park, San Diego Cemetery Association, and Skylawn Memorial Park; and each of the other Applicants is a funeral service company located in the State of California. Applicants in the past have sold pre-need funeral service debentures on an installment basis ("Debentures") to individuals desiring to set aside money to pay for their funerals.

Applicants state that the Debentures typically bear a modest rate of interest, mature in twenty to twenty-five years and can be applied at their face amount prior to maturity toward payment for funeral services "at time of need."

Applicants represent that most of the Debentures were sold pursuant to sub Debentures were sold pursuant to subscription agreements under which an average of $500 to $1,000 of Debentures were subscribed for and were to be paid for over a five to ten year period. Applicants further represent that as of February 9, 1976, there was outstanding an aggregate of approximately $55,000,000 of fully or partially paid Debentures, and subscription agreements providing for payments to be made on issued Debentures or for the purchase of additional unissued Debentures of the Applicants in the aggregate amount of approximately $22,500,000.

On January 5, 1976, the Commission announced its decision in The Matter of International Funeral Services of California, Inc. (Investment Company Act Release No. 9112), in which it found that installment sales of pre-need funeral service debentures of the type issued by the Applicants constitute the issuance of face-amount certificates of the installment type requiring the issuer to be registered under and comply with the provisions of the Act.

Section 3(a)(2) of the Act defines "investment company" to mean an issuer which is engaged or proposes to engage in the business of issuing face-amount certificates of the installment type, or has been engaged in such business and has any such certificates outstanding.

Section 2(a)(15) of the Act defines "face-amount certificates" to include "any * * * security which represents an obligation of its issuer to pay a stated or determinable sum at a fixed or determinable date more than twenty-four months after the date of issuance, in consideration of the payment of periodic installments of a stated or determinable amount (which security shall be known as a face-amount certificate of the installment type)."

Applicants state that, if the Debentures are face-amount certificates of the installment type, registration of the issuers or an exemption under the Act will be required (1) to complete sales on an installment basis of Debentures already subscribed for, and (2) for so long as the Applicants have outstanding any previously issued Debentures which were sold on an installment basis. Applicants have, therefore, applied for an exemption from all the provisions of the Act pursuant to Section 6(c) of the Act, in connection with (a) completion of Debenture sales by Applicants under existing subscription agreements, and (b) outstanding Debentures which were sold on an installment basis.

Section 6(c) provides, in pertinent part, that the Commission, by order upon application, may conditionally or unconditionally exempt any person or class of persons from any or all provisions of the Act if and to the extent that such exemption is necessary or appropriate in the public interest and consistent with the protection of investors and purposes fairly intended by the policy and provisions of the Act.

Applicants make six basic representations which form the basis for their assertion that the granting of an exemption pursuant to Section 6(c) of the Act is appropriate in the public interest and consistent with the protection of investors:

(1) Applicants represent that they have neither solicited nor accepted any new subscription agreements for the installment sale of Debentures since February 9, 1976, and that in the future they will not enter into any new agreements for the sales of Debentures on an installment basis.

(2) Applicants represent that all future pre-need funeral arrangements made on an installment basis will be undertaken only by way of trust agreements established pursuant to the provisions of Section 7735 et seq. of the California Business and Professions Code ("the Short Act") which requires, among other things, that all cash or other property received by a funeral director in advance of need be maintained by trustees in segregated accounts and held in specified investments.

(3) Applicants represent that each Applicant has established a trust account meeting the requirements of the Short Act to hold all monies received and to be received since February 9, 1976, pursuant to existing subscription agreements. The funds held in such accounts may be used to meet redemption requests on those Debentures issued since February 9, 1976, pursuant to existing subscription requirements. Income on the corpus of such trust funds is to be applied first to the expenses of administering the trust, second to the payment of interest due on the Debentures, if any, and third to Applicants. As of May 26, 1977, the total amount held in such trust funds was approximately $6,000,000.

(4) Applicants propose to offer to the original purchaser, his conservator or other legal representative in the case of his incapacity, or any member of his immediate family to whom he has transferred his Debentures a right to redeem for cash all outstanding Debentures. The redemption right will be available only during the life of the original purchaser. Debentures purchased since February 9, 1976, will be redeemable at the full face amount of the Debenture plus any accrued and unpaid interest. With respect to Debentures issued or paid for prior to February 9, 1976, each Applicant will have the option for three years after the date of the order granting this application to charge an administrative fee for cash redemptions of up to 7 percent of the amount of Debentures redeemed. Any Applicant with outstanding Debentures having existing provisions affording more liberal redemption rights will continue to be bound by such provisions. On the expiration of the 3 year period following the date of the order issued on this application, all outstanding Debentures issued by Applicants will be redeemable at the full face amount of the Debentures plus interest, if any, without the imposition of any administrative fees. Applicants assert that the 7 percent administrative charge is not inconsistent with the redemption requirements of the Act and that it is necessary to provide a redemption disincentive to make less likely an initial flood of redemptions which might have serious adverse consequences to the Applicants.

(5) Applicants represent that they will notify all holders of outstanding Debentures of their redemption rights, the exemption obtained from the Commission, and the trust arrangements created to assure performance of the pre-need contracts. Notice will be in the form of a letter sent to each Debenture holder promptly upon the granting of the requested exemption or, at the option of each Applicant, with the next interest payment on the Debentures subsequent to the issuance of an order granting the application.

(6) Applicants further propose to establish a cash Performance Trust Fund (the "Performance Trust") in an initial amount of $250,000 with a subsequent contribution of an additional $125,000 should the Performance Trust fall below $125,000 during the term of its existence. The purpose of the proposed Performance Trust would be to reimburse the cost of funeral services performed by any of the Applicants or other mortuaries for holders of Debentures of any of the Applicants which may be unable to perform such services because of insolvency. Companies which perform funeral services for holders of Debentures issued by one of the Applicants which became insolvent would be reimbursed by the Performance Trust in the amount of approximately 20% of the face amount of the Debentures so redeemed in services. The Performance Trust would not be used to meet cash redemptions. Appli-

cants propose to maintain the Performance Trust until all obligations under outstanding Debentures are satisfied or until the Trustees unanimously determine, with the concurrence of the California Department of Corporations, that some or all of the Performance Trust is no longer reasonably required to assure performance of funeral services for holders of outstanding Debentures.

Applicants state that they have undertaken to form the Performance Trust and the trusts for all monies received since February 9, 1976, under existing subscription agreements in order to ensure that monies received upon the sale of the Debentures are substantially reserved for the performance of the terms and conditions of the Debentures.

Applicants assert that the granting of the requested exemption would be in the public interest and consistent with the protection of investors in view of (a) the protection afforded investors by the six numbered representations set out above, and (b) the adverse effects that a refusal to grant said exemption could have on the funeral service industry of California. Applicants state that such adverse effects include the possibility of some or all of Applicants being unable to remain in business, thus leaving up to approximately 75,000 holders of outstanding Debentures without the funeral services which they sought to secure by purchasing Applicants' Debentures.

Notice is further given that any interested person may, not later than October 17, 1977, at 5:30 p.m., submit to the Commission in writing a request for a hearing on the matter accompanied by a statement as to the nature of his interest, the reason for such request, and the issues, if any, of fact or law proposed to be controverted, or he may request that he be notified if the Commission shall order a hearing thereon. Any such communication should be addressed: Secretary, Securities and Exchange Commission, Washington, D.C. 20549. A copy of such request shall be served personally or by mail upon Applicants at the addresses stated above. Proof of such service (by affidavit or, in case of an attorney-at-law, by certificate) shall be filed contemporaneously with the request. As provided by Rule 0-5 of the Rules and Regulations promulgated under the Act, an order disposing of the application will be issued as of course following said date unless the Commission thereafter orders a hearing upon request or upon the Commission's own motion. Persons who request a hearing, or advice as to whether a hearing is ordered, will receive any notices and orders issued in this matter, including the date of the hearing (if ordered) and any postponements thereof.

By the Commission.

GEORGE A. FITZSIMMONS,
Secretary.

[FR Doc.77-28679 Filed 9-28-77;8:45 am]

[8010-01]

[Release No. 34-13974; File No. SR-NYSE-77-22]

NEW YORK STOCK EXCHANGE, INC.

Proposed Rule Change

Pursuant to Section 19(b)(1) of the Securities Exchange Act of 1934 (the "Act"), 15 U.S.C. 78s(b)(1), as amended by Pub. L. No. 94-29 (June 4, 1975), notice is hereby given that on August 8, 1977, the above-mentioned self-regulatory organization filed with the Securities and Exchange Commission a proposed rule change as follows:

STATEMENT OF THE TERMS OF SUBSTANCE OF THE PROPOSED RULE CHANGE

The proposed rule change will clarify the Exchange's position with regard to the relationship that should be maintained between listed companies and their specialists.

The text of the proposed rule change is attached as Exhibit A.

MSE's STATEMENT OF BASIS AND PURPOSE

The basis and purpose of the foregoing proposed rule change is as follows:

The purpose of the proposed rule change is to clarify the Exchange's position regarding the desirable relationship that should be maintained between specialists and listed company officials and to provide public interest guidelines governing the types of information that may be discussed during the course of communications, in order to encourage liaison between listed companies and their specialists and, in so doing, enable listed companies to achieve a greater awareness of auction market operations, while making clear that the disclosure of material non-public information relating to the company or to the market in its stock by either party to the other is prohibited.

BASIS UNDER THE ACT FOR PROPOSED RULE CHANGE

The rule change is proposed pursuant to authority of national securities exchanges contained in SEC Rule 11b-1 to regulate the conduct of specialists, and the obligation imposed on national securities exchanges in Section 6(b)(5) of the Act to adopt rules which are designed to prevent fraudulent and manipulative acts and practices, to promote just and equitable principles of trade, and to protect investors and the public interest.

COMMENTS RECEIVED FROM MEMBERS, PARTICIPANTS OF OTHERS ON PROPOSED RULE CHANGE

No comments were solicited by the Exchange on the proposed rule change nor have any written comments been received.

BURDEN ON COMPETITION

The Exchange has determined that no burden on competition will be imposed by the proposed rule change. The foregoing rule change has become effective, pursuant to Section 19(b)(3) of the Securities Exchange Act of 1934. At any time within 60 days of the filing of such proposed rule change, the Commission may summarily abrogate such change if it appears to the Commission that such action is necessary or appropriate in the public interest, for the protection of investors, or otherwise in furtherance of the purposes of the Securities Exchange Act of 1934.

Interested persons are invited to submit written data, views and arguments concerning the foregoing. Persons desiring to make written submissions should file six (6) copies thereof with the Secretary of the Commission, Securities and Exchange Commission, Washington, D.C. 20549. Copies of the filing with respect to the foregoing and of all written submissions will be available for inspection and copying in the Public Reference Room, 1100 L Street, NW., Washington, D.C. Copies of such filing will also be available for inspection and copying at the principal office of the above-mentioned self-regulatory organization.

All submissions should refer to the file number referenced in the caption above and should be submitted within 21 days of the date of this publication.

For the Commission by the Division of Market Regulation, pursuant to delegated authority.

GEORGE A. FITZSIMMONS,
Secretary.

SEPTEMBER 20, 1977.

TEXT OF PROPOSED RULE CHANGE, NEW YORK STOCK EXCHANGE, INC.

THE LISTED COMPANY AND THE SPECIALIST

I. *The need for maintaining contact.* The Exchange's communications efforts are designed to provide all of its many constituencies with a better and more thorough understanding of its primary product—the continuous, two-way auction market. A crucial aspect of these efforts is the role of the specialist who is accountable to all of the many constituencies he serves for the quality of the Exchange market. By contributing to the liquidity, continuity and depth of the market, the specialist also contributes to the value and prestige of an Exchange listing.

The Exchange believes that a good, working rapport with its listed companies is essential for achieving an awareness of auction market operations, its many facets, and the many factors that affect the marketability of a company's stock. Because specialists stand as the focal point for the market in the stock, they are best able to contribute to that understanding. Accordingly, specialists are encouraged to maintain an active, two-way dialogue with representatives of listed companies. As a result, company officials can more fully appreciate the problems and the obstacles which confront the specialist in maintaining a fair and orderly market thus

enabling them to better respond to questions on their stock from their stockholders, employees, and the general public. Equally important, the specialist gains a greater familiarity with the company, its management and its business philosophy, and a better general understanding of the industry of which that company is a part. This will enable him to better assess the impact of corporate or industry developments on the market in the company's stock.

II. *Frequency of contact.* It is recommended that specialists be available to meet with listed company officials on a regular basis. Such meetings are desirable as specialists gain the benefit of exposure to the company's point of view, and companies can more fully appreciate the role of the specialist and the rules under which he operates.

Contact is recommended as a basis for meaningful exchange of views between the company officials and the specialist as frequently as circumstances indicate. In December of each year, the Market Surveillance and Evaluation Division will inquire of each specialist unit as to which companies they have had contact with during the year.

Preparatory to such discussions with company officials, the Division of Stock List will be available to review this policy or to ascertain the extent of any discussions the staff may have had with the company. Such discussions can be of value to all parties concerned, particularly where initial contact is being made, because specialists can be briefed on Exchange and industry related matters.

Company officials should also be mindful of the Auction Market Seminars conducted at the Exchange by the staff, and are encouraged to participate in them. These Seminars are useful for providing the listed company with detailed explanations of Exchange operations and procedures, and analyses of the market maintained in its stock and the performance of its specialist. Auction Market Seminars can be arranged through the Stock List Liaison Representative. Specialists will be advised of a scheduled seminar and will be expected to attend. Further, the Exchange conducts Auction Market Information Program seminars in cities throughout the country. This program provides an opportunity for corporate executives to meet with and question Floor brokers and specialists and discuss the auction market process and other matters of mutual interest. The Exchange will alert companies when such seminars are held near the corporate headquarters.

III. *Factors to be considered when maintaining contact.* In the conduct of specialist and listed company liaison, both parties must be mindful of the following:

The company may discuss with the specialist information of a material nature (i.e., earnings, dividends, stock split or merger, new products or services), *Provided,* Such information has been publicly disseminated. Information it would normally make available to stockholders, security analysts, or anyone having a legitimate interest in the company may also be discussed.

Rumors encountered by the listed company which might reasonably be expected to significantly affect market conditions in the stock should be brought to the attention of the Exchange staff as quickly as possible. Specialists encountering such rumors should contact a Floor Official in accordance with established procedures. The staff will then take immediate steps to confirm or deny their accuracy. In this regard, the specialist and the listed company should be familiar with Exchange rules and policies concerning the circulation of unsubstantiated information. These are contained in an Exchange pamphlet entitled "Expanded Policy on Timely Disclosure".

IV. *Guidelines for contact.* Guidelines for delineating the types of information that can be discussed between specialist and listed company are designed primarily to provide a framework within which a meaningful exchange of views can be made. They are not inteneded to inhibit the company or the specialist from discussing other matters of mutual interest provided such matters are those that could be freely discussed with or made available to anyone having a legitimate interest in the company. However, the company should not discuss non-public information which could affect the decision of investors to buy, sell, or hold the company's stock. The specialist, by the same token, should not discuss information which he has been asked to hold in confidence as agent.

It is expected that when both parties meet, they will exercise caution and good judgment in the types of information exchanged. However, if in the course of discussion the specialist inadvertently acquires information about the business of the company which he feels might significantly impact on the market in the stock, he should inform the company that such information must be reported to the Exchange so that steps will be taken to insure that it is adequately disseminated before trading in the stock can continue.

* * * * *

The Exchange suggests that in discussions between specialists and listed companies, proper liaison can be maintained, and the resulting dialogues mutually beneficial, if the conversations include the types of information described below.

1. *By the company.* Any information given by the company to security analysts, financial writers, stockholders, and others having a legitimate interest in the company's affairs, may also be given to the specialist.

Company officials may discuss such matters as the number of shares publicly held and the geographical distribution of the shares, the trend of business and the types of products manufactured and/or services provided, and policies regarding the business of the company.

2. *By the specialists.*—a. *The role of the specialist.* The specialists should describe his functions in meaningful terms, particularly his principal and agency responsibilities and his efforts to bring buyers and sellers together. In addition, he may discuss how he tailors his performance to the specific trading characteristics of the company's stock.

b. *His organization.* i. Number of specialists, years of experience, ages, other stocks in which the firm specializes, other business activities (i.e., retail business, options, arbitrage);

ii. Exchange committee of which individual specialists are members;

iii. General financial information may be given at the discretion of the specialist.

c. *Market characteristics of the stock.* i. The number and sizes of orders normally present in the market, without disclosing the actual size or terms of orders currently on the book;

ii. The amount of institutional interest, including the extent of block orders. Buyers and sellers of significant transactions can be disclosed, but when the specialist has acted as agent, permission from the buying and selling brokers involved must be obtained;

iii. Price continuity (trade-to-trade price variations), quotation spreads (the difference between the reported bid and offer prices), depth (price movement over a given volume of shares traded), Exchange share of the Consolidated Tape System volume, etc.;

iv. How the stock has reacted to past news announcements.

d. *General topics regarding the Exchange and the specialist system* (i.e., the DOT System, specialist surveillance, procedures for monitoring the financial conditions of specialists, performance evaluation and stock allocation procedures).

In addition to the above, the specialist is permitted to discuss his performance based on evaluation methods employed by the Exchange and any disciplinary or performance improvement action that has been taken. However, corporations are encouraged to direct inquiries of this nature to the staff of the Exchange so that full explanations can be provided and possible misunderstandings averted.

[FR Doc.77-28681 Filed 9-28-77;8:45 am]

[8010-01]

[Release No. 34-13986; File No. SR-PSE-77-27]

PACIFIC STOCK EXCHANGE, INC.

Self-Regulatory Organizations; Proposed Rule Change

Pursuant to section 19(b)(1) of the Securities Exchange Act of 1934, 15 U.S.C. 78s(b)(1), as amended by Pub. L. No. 94-29, 16 (June 4, 1975), notice is hereby given that on September 8, 1977, the above-mentioned self-regulatory organization filed with the Securities and Exchange Commission a proposed rule change as follows:

STATEMENT OF THE TERMS OF SUBSTANCE OF THE PROPOSED RULE CHANGE

The Pacific Stock Exchange Incorporated ("PSE") hereby requests to amend Rule IX by eliminating sections 3(a) through 3(f) which currently require that its member firms shall have as its principal purpose of membership the conduct of a public securities business, and adding new sections 3(a) through 3(e) and section 11 as follows (*italics* indicate additions):

RULE IX—EXCHANGE MEMBERSHIPS

Denial of and Conditions to Membership

Sec. 3(a). The Exchange may deny membership to any registered broker or dealer or natural person associated with registered broker or dealer and bar from becoming associated with a member organization any person who is subject to a statutory disqualification, as that term is defined in the Securities Exchange Act of 1934, as amended.

(b). The Exchange may deny membership to, or condition the membership of a registered broker or dealer if: (1) such broker or dealer is unable to satisfactorily demonstrate its present capacity to adhere to applicable provision of (i) sections 15 and 17 of the Securities Exchange Act of 1934, as amended, and all rules and regulations promulgated thereunder or (ii) those rules relating to the maintenance of books and records of the Exchange; (2) such broker or dealer has previously violated and there is a reasonable likelihood such broker or dealer will again engage in acts or practices violative of (i) sections 15 and 17 of the Securities Exchange Act of 1934, as amended, and all rules and regulations promulgated thereunder, or (ii) those rules relating to the maintenance of books and records of the Exchange or those of other self-regulatory organizations of which such broker or dealer is or was a member; or (3) such broker or dealer (i) is subject to any unsatisfied liens, judgments or unsubordinated creditor claims of a material nature, which in the absence of a reasonable explanation therefor, remain outstanding for more than sixty (60) days, (ii) has been itself, or is the successor to an entity which has been subject to any bankruptcy proceeding, receivership or arrangement for the benefit of creditors within the past three years, or (iii) has engaged in an established pattern of failure to pay just debts.

(c). The Exchange may deny membership to, or condition the membership of, a registered broker or dealer, and may bar a natural person from becoming a member or associated with a member, or condition the membership of a natural person or association of a natural person with a member, if such broker or dealer, or natural person (1) does not successfully complete such written proficiency examinations as required by the Exchange to enable it to examine and verify the applicant's qualifications to function in one or more of the capacities applied for; (2) does not meet such other standards of training, experience, and competence as may be established by the Exchange; (3) has engaged and there is a reasonable likelihood he will again engage in acts or practices inconsistent with just and equitable principles of trade; or (4) such natural person (i) is subject to any unsatisfied liens, judgments or unsubordinated creditor claims of a material nature, which, in the absence of a reasonable explanation therefor, remain outstanding for more than sixty (60) days, (ii) has been subject to any bankruptcy proceeding, receivership or arrangement for the benefit of creditors within the past three years; or (iii) has engaged in an established pattern of failure to pay just debts.

The Board may waive a required examination for any applicant if, within two years of the date such applicant applied to the Exchange for membership, such applicant has successfully completed a comparable examination administered by a self-regulatory body or the Securities and Exchange Commission.

Application Procedures; Approval

Sec. 3(d). Every individual applying to become the owner of a membership, every individual designated as a nominee of a member organization, every organization applying to become the owner of a membership and every organization for which the owner of an individual membership is to be registered shall complete an application on the appropriate form prescribed by the Exchange and shall file it with the Department of Membership Services of the Exchange. All applications shall be filed together with such application fees and such additional documents and agreements as may be required by the Exchange.

Within 15 days following receipt of an application for membership, the Department of Membership Services shall mail to all members the name of the applicant and the name of the nominee of an applicant organization. A notice containing the same information shall be posted on the bulletin board on the floors of the Exchange.

Before an application is considered for approval by the Compliance Department, every individual applicant and, in the case of applicant organizations, all persons associated with the member organization, may be investigated by the Exchange. Individual applicants may be required to appear in person before the Membership Services Director or Compliance Director. After the notice of application has been posted for at least 10 days, the Compliance Department shall approve or disapprove the application. The Compliance Department shall disapprove an application for membership if it does not make such a finding or if it finds that if the application were approved, the member would be subject to suspension or expulsion under the provisions of these Rules.

Approval of an application requires a vote of the majority of the members of the Membership Committee then in office, and any application not receiving such approval shall be deemed disapproved. Written notice of the action of the Compliance Department specifying, in the case of disapproval of an application, the grounds therefor shall be given to the applicant. When an application involves the purchase of a membership, if the approved applicant fails to acquire and pay for a membership the approval shall be withdrawn.

Disapproval of Membership Application

Sec. 3(e). In the event that an application for membership is disapproved by the Compliance Department, the applicant shall have an opportunity to be heard upon the specific grounds for the disapproval, in accordance with the provisions of Article VI, section 1 (f) of the Exchange Constitution and Rules promulgated thereunder. A disapproved applicant desiring to be heard shall so notify the Exchange in writing, within fifteen days of the applicant's receipt of notice of such disapproval and file with the Exchange a petition for review of such disapproval.

Commentary

.01. As used in section 3(b)(3)(i), the term "material" means any amount which equals more than 5 percent of the total assets of the broker or dealer.

02. The Exchange shall regard the failure to carry out any contract or honor any financial commitment with another member or member firm, (a) by any applicant as a violation of just and equitable principles of trade and, (b) an indication of a broker or dealer applicant's inability to meet such standards of financial responsibility as may be set by the Exchange.

Obligations of Terminating Members

Sec. 11. Every member who sells or transfers his membership pursuant to the provisions of this Rule must be current in all filings and payments of dues, fees and charges relating to that membership, including filing fees and charges required by the Securities and Exchange Commission and the Securities Investor Protection Corporation. If a member fails to make all such filings, or to pay all such dues, fees and charges, the Secretary may notwithstanding the other applicable provisions of this Rule, withhold distribution of the proceeds of the sale of said membership, or delay the effectiveness of the membership of the transferee, until such time as the failures have been remedied.

STATEMENT OF BASIS AND PURPOSE

The basis and purpose of the foregoing proposed rule change is as follows:

The purpose of the proposed rule change is to remove language from the Rules of the PSE which is no longer applicable (present sections 3(a) through 3(f)), to add definitive provisions for approving, denying and conditioning membership on the PSE (new sections 3(a) through 3(e)), and to define certain obligations of terminating members (new section 11).

The basis for the proposed rule change is sections 6(c)(2) and 6(b)(5) of the Securities Exchange Act of 1934, as amended, which shall enable the PSE to better carry out the purposes of the Act in the processing of membership applications and in clarifying the obligations of terminating members.

Comments have neither been solicited nor received from members on the proposed rule change.

The proposed rule change imposes no burden upon competition.

On or before November 3, 1977, or within such longer period (i) as the Commission may designate up to 90 days of such date if it finds such longer period to be appropriate and publishes its reasons for so finding or (ii) as to which the above-mentioned self-regulatory organization consents, the Commission will:

(A) By order approve such proposed rule change, or

(B) Institute proceedings to determine whether the proposed rule change should be disapproved.

Interested persons are invited to submit written data, views and arguments concerning the foregoing. Persons desiring to make written submissions should file six copies thereof with the Secretary of the Commission, Securities and Exchange Commission, Washington, D.C. 20549. Copies of the filing with respect to the foregoing and of all written submissions will be available for inspection and copying in the Public Reference Room, 1100 L Street NW., Washington,

D.C. Copies of such filing will also be available for inspection and copying at the principal office of the above-mentioned self-regulatory organization. All submissions should refer to the file number referenced in the caption above and should be submitted on or before October 20, 1977.

For the Commission, by the Division of Market Regulation, pursuant to delegated authority.

GEORGE A. FITZSIMMONS,
Secretary.

SEPTEMBER 22, 1977.

[FR Doc.77-28682 Filed 9-28-77;8:45 am]

[8010-01]

[Release No. 34-13994; File No. SR-PHLX 77-13]

PHILADELPHIA STOCK EXCHANGE, INC.

Self-Regulatory Organizations; Proposed Rule Change

Pursuant to Section 19(b)(1) of the Securities Exchange Act of 1934, 15 U.S.C. 78s(b)(1), as amended by Pub. L. No. 94-29, 16 (June 4, 1975), notice is hereby given that on September 16, 1977, the above-mentioned self-regulatory organization filed with the Securities and Exchange Commission a proposed rule change as follows:

EXCHANGE'S STATEMENT OF TERMS OF SUBSTANCE OF THE PROPOSED RULE CHANGE

The Philadelphia Stock Exchange, Inc. (PHLX, proposes an amendment to its Rule 1010 relating to withdrawal of approval of an underlying stock previously approved for Exchange option transactions. Under present provisions, upon Exchange determination that any underlying stock should no longer be approved because it does not meet current requirements or for any other reason, trading is not opened in any additional series of options of the class covering such underlying stock. An additional section to the rule is now proposed which, nothwithstanding the foregoing, would, in the case of a class or series of previously approved option contracts not exclusively traded on the Exchange, permit the Exchange with SEC approval to strike from trading or listing such class or series of option contracts. The text of a proposed second section of Rule 1010 to be designated as (b), follows. The present first section will be designated as (a). Italics indicate new material:

1010(b) *Notwithstanding the foregoing provisions, whenever the Exchange determines in the interest of maintaining a fair and orderly market or for the protection of investors that a class or series of option contracts previously approved for Exchange option transactions and not exclusively traded on the Exchange should no longer be approved, the Exchange may make application to the Securities and Exchange Commission to strike from trading and listing such class or series of option contracts.*

EXCHANGE'S STATEMENT OF BASIS AND PURPOSE

The basis and purpose of the foregoing proposed rule change is as follows:

In the case of option contracts not exclusively traded on one Exchange, the significant trading activity may shift, for various reasons, to one or more other market centers which then can provide fair and orderly markets for outstanding series of option contracts. If alternative market centers of adequate quality are available to the public, it appears reasonable for an exchange experiencing such significant loss of trading activity to have the power, in the case of multiply-traded option contracts, to terminate trading in a class or series at a particular time with SEC approval and without waiting for an outstanding series to expire.

The standards of fair and orderly markets and the protection of investors are written into the rule and would be the basis for invoking it.

No comments have been received or solicited.

No burden on competition will be imposed by the proposed amendment.

Within 35 days of the date of publication of this notice in the FEDERAL REGISTER, or within such longer period (i) as the Commission may designate up to 90 days of such date if it finds such longer period to be appropriate and publishes its reasons for so finding or (ii) as to which the above-mentioned self-regulatory organization consents, the Commission will:

(A) By order approve such proposed rule change, or

(B) Institute proceedings to determine whether the proposed rule change should be disapproved.

Interested persons are invited to submit written data, views and arguments concerning the foregoing. Persons desiring to make written submissions should file 6 copies thereof, with the Secretary of the Commission, Securities and Exchange Commission, Washington, D.C. 20549. Copies of the filing with respect to the foregoing and of all written submissions will be available for inspection and copying in the Public Reference Room, 1100 L Street NW., Washington, D.C. Copies of such filing will also be available for inspection and copying at the principal office of the above-mentioned self-regulatory organization. All submissions should refer to the file number referenced in the caption above and should be submitted on or before October 31, 1977.

For the Commission, by the Division of Market Regulation pursuant to delegated authority.

GEORGE A. FITZSIMMONS,
Secretary.

SEPTEMBER 26, 1977.

[FR Doc.77-28683 Filed 9-28-77;8:45 am]

[8010-01]

[File No. 500-1]

TELLCO INFORMATION SERVICES, INC.

Suspension of Trading

SEPTEMBER 22, 1977.

It appearing to the Securities and Exchange Commission that the summary suspension of trading in the securities of Tellco Information Services, Inc., being traded on a national securities exchange or otherwise is required in the public interest and for the protection of investors:

Therefore, pursuant to Section 12(k) of the Securities Exchange Act of 1934, trading in such securities on a national securities exchange or otherwise is suspended, for the period from 9:45 a.m. (e.d.t.) on September 22, 1977, through October 1, 1977.

By the Commission.

GEORGE A. FITZSIMMONS,
Secretary.

[FR Doc.77-28680 Filed 9-28-77;8:45 am]

[8025-01]

SMALL BUSINESS ADMINISTRATION

[License No. 03/03-0022]

SHARON SMALL BUSINESS INVESTMENT CO.

Application for Approval of Conflict of Interest Transaction

Notice is hereby given that Sharon Small Business Investment Company (SSBIC), 385 Shenango Avenue, Sharon, Pa. 16146, a Federal Licensee under the Small Business Investment Act of 1958 (Act), as amended (15 U.S.C. 661 et seq.), has filed an application with the Small Business Administration (SBA) pursuant to section 312 of the Act and covered by § 107.1004 (b) (1) and (4) of the SBA regulations governing Small Business Investment Companies (SBIC) (13 FR 107.1004 (1977)) for approval of a conflict of interest transaction falling within the scope of the above sections of the Act and regulations.

Subject to such approval SSBIC proposes to provide funds to John P. and Philominia D. Hogan for the purpose of acquiring property located at 600 N. State Street, Girard, Ohio 44420.

The proposed financing is brought within the purview of § 107.1004(b) (1) and (4) of the regulations because of Mr. Hogan's past employment, (resigned on September 3, 1977) with the parent company of the SBIC, and therefore is considered an associate of SSBIC as defined by § 107.3 of the regulations.

The transaction also falls within § 107.1004(b) (4), in that the Hogan's will be subleasing the property from the parent of the licensee.

Notice is hereby given that any interested person may, not later than October 11, 1977, submit written comments on

the proposed transaction to the Deputy Associate Administrator for Investment, Small Business Administration, 1441 "L" Street NW., Washington, D.C. 20416.

(Catalog of Federal Domestic Assistance Program No. 59.011, Small Business Investment Companies.)

Dated: September 22, 1977.

PETER F. MCNEISH,
Deputy Associate Administrator for Investment.

[FR Doc.77-28598 Filed 9-28-77;8:45 am]

[4910-14]

DEPARTMENT OF TRANSPORTATION

Coast Guard

[CGD 77-180]

COAST GUARD ACADEMY ADVISORY COMMITTEE

Meeting

Pursuant to section 10(a)(2) of the Federal Advisory Committee Act (Pub. L. 92-463; 5 U.S.C. App. I), notice is hereby given of a meeting of the Coast Guard Academy Advisory Committee to be held at the U.S. Coast Guard Academy, New London, Conn., on Tuesday and Wednesday, October 18-19, 1977. The meeting on Tuesday will begin at 1 pm and remain in session until 4 pm. The meeting on Tuesday will begin at 8:45 am and remain in session until 3:45 pm.

The agenda for this meeting is as follows:

(a) Computer program.
(b) Engineering programs and ECPD evaluation.
(c) McAllister Hall.
(d) Summer training.
(e) Recruiting and admissions.
(f) Media center.
(g) Nautical science simulator.

The Coast Guard Academy Advisory Committee was established in 1937 by Pub. L. 75-38 to advise on the status of the curriculum and faculty of the Academy and to make recommendations as necessary.

Attendance is open to the interested public. With the approval of the Chairman, members of the public may present oral statements at the hearing. Persons wishing to attend and persons wishing to present oral statements should notify, not later than the day before the meeting, and information may be obtained from:

Capt. Roderick M. White, USCG, Dean of Academics/Executive Secretary of Academy Advisory Committee, U.S. Coast Guard Academy, New London, Conn. 06320, phone 203-443-8688.

Any member of the public may present a written statement to the Committee at any time.

Issued in Washington, D.C.

R. J. KNAPP,
Captain, USCG, Acting Chief, Office of Personnel.

[FR Doc.77-28696 Filed 9-28-77;8:45 am]

[4910-14]

[CGD 77-174]

RESEARCH ADVISORY COMMITTEE

Meeting

Pursuant to section 10(a) of the Federal Advisory Committee Act (Pub. L. 92-463, 5 U.S.C. App. I) notice is hereby given of a meeting of the Research Advisory Committee to be held at 9 a.m. on November 16, 1977, in Room 244 at the U.S. Coast Guard Research and Development Center, Avery Point, Groton, Conn. 06340.

The agenda for this meeting is as follows:

(1) Welcome aboard and delineation of final agenda.
(2) Old committee business, including Commandant's response to recommendations derived from the 15th meeting of the Committee.
(3) Research and development highlights within the Coast Guard during April-November 1977.
(4) Technical review of ongoing RDT&E efforts at the U.S. Coast Guard Research and Development Center.
(5) Integrated overview of research Advisory Committee recommendations, 1974-77.
(6) Commentary relative to a long range view of Coast Guard RDT&E policy and technical goals.
(7) Any new Committee business items.

The Committee will continue its deliberations until 11:45 a.m. on November 18, 1977. Attendance is open to the interested public. With the approval of the Chairman, members of the public may present oral statements at the hearing. Persons wishing to attend and persons wishing to present oral statements should notify, not later than the day before the meeting, the Executive Secretary of the Research Advisory Committee. Information may be obtained from Mrs. Patricia A. Shenkle, Executive Secretary of the Research Advisory Committee, Office of Research and Development, U.S. Coast Guard (G-DS/62), Washington, D.C. 20590, phone 202-426-1037. Any member of the public may present a written statement to the Committee at any time.

J. P. STEWART,
Rear Admiral, U.S. Coast Guard, Chief, Office of Research and Development.

AUGUST 19, 1977.

[FR Doc.77-28697 Filed 9-28-77;8:45 am]

DEPARTMENT OF THE TREASURY

Fiscal Service

[Dept. Circ 570, 1977 Rev., Supp. No. 2]

MINNESOTA TRUST CO. OF AUSTIN

Surety Company Acceptable on Federal Bonds

Correction

In FR Doc. 77-27422 appearing on page 47610 in the issue for Wednesday, September 21, 1977:

1. In the headings of the document, the name of the Company was incorrectly given as "Minnesota Trust Co. of America." It should read "Minnesota Trust Co. of Austin," as set forth above.

2. The "State in which incorporated" was omitted from the listing following the first paragraph of the document. This State should be listed as "Minnesota."

UNITED STATES RAILWAY ASSOCIATION

[Docket 211-16]

CONSOLIDATED RAIL CORP.

Application for a Loan

Subsection (h) of Section 211 of the Regional Rail Reorganization Act of 1973, as amended (45 U.S.C. § 721) (the Act), authorizes the United States Railway Association (Association) to enter into loan agreements with the Consolidated Rail Corporation (ConRail), the National Railroad Passenger Corporation, and any profitable railroad to which rail properties are transferred or conveyed pursuant to Section 303(b)(1) of the Act under conditions and for purposes set forth in this Subsection. Subsection (b) of Section 211 requires that the Association publish notice of the receipt of any application thereunder in the FEDERAL REGISTER and afford interested parties an opportunity to comment thereon.

On March 1, 1976, ConRail submitted a preliminary application for a loan under the provisions of Section 211(h) in the amount of $230,000,000. Notice of this application was published in the FEDERAL REGISTER dated March 19, 1976. On March 29, 1976, ConRail supplemented its preliminary application by filing the certifications and exhibits required by "Procedures for Applications for Loans to Pay Obligations of Railroads in Reorganization", 49 CFR Sec. 922 (Loan Procedures), and requested an initial borrowing of $34,024,000. On April 1, 1976, ConRail and the Association entered into a loan agreement which authorized initial borrowings by ConRail of $34,024,000. On April 12, 1976, ConRail further supplemented its loan application with a request that the aggregate amount of the initial borrowing be increased to $51,157,000. On April 15, 1976, the Board of Directors of the Association approved that request.

On July 12, 1976, ConRail filed a Borrowing Application pursuant to Subsection 211(h) of the Act requesting, among other things, new borrowings of $35,778,533.21 and an increase of the maximum amount reserved to $230,000,000.00. On July 29, 1976, the Board of Directors of the Association approved an additional loan to ConRail in the principal amount of $8,182,352.21.

On November 18, 1976, ConRail filed a Borrowing Application pursuant to Subsection 211(h) of the Act requesting, among other things, new borrowings of $143,804,396.39 and a request for amendment of Section 3.01 of the Loan Agreement to increase the Maximum Borrowing to $203,143,749.60. On December 6, 1976, the Board of Directors of the Association approved an additional loan to

ConRail in the principal amount of $11,-251,396.39.

On February 1, 1977, ConRail filed a Borrowing Application pursuant to Section 211(h) of the Act requesting, among other things, new borrowings of $107,-761,877.76. On February 17, 1977, the Executive Committee of the Board of Directors of the Association approved an additional loan to ConRail in the principal amount of $107,761,877.76.

On March 16, 1977, ConRail filed a Borrowing Application pursuant to Section 211(h) of the Act requesting new borrowings of $25,333,400.00. On March 31, 1977, the Board of Directors of the Association approved an additional loan to ConRail in the principal amount of $25,333,400.00.

On April 25, 1977, ConRail filed a Borrowing Application pursuant to Section 211(h) of the Act requesting new borrowings of $25,888,400.00 On April 29, 1977, the Executive Committee of the Board of Directors of the Association approved an additional loan to ConRail in the principal amount of $7,825,000.00 to be effective May 10, 1977.

On June 6, 1977, ConRail filed a Borrowing Application pursuant to Section 211(h) of the Act requesting new borrowings of $10,137,739.43. On June 30, 1977, the Board of Directors of the Association approved an additional loan to ConRail in the principal amount of $10,-137,739.43.

On June 22, 1977, ConRail filed a Borrowing Application pursuant to Section 211(h) of the Act requesting new borrowings of $15,060,000.00. On June 30, 1977, the Board of Directors of the Association approved an additional loan to ConRail in the principal amount of $15,-060,000.00.

On July 20, 1977, ConRail filed a new Borrowing Application pursuant to Section 211(h) of the Act requesting new borrowings of $18,030,000.00. On July 28, 1977, the Board of Directors of the Association approved an additional loan to ConRail in the principal amount of $18,-030,000.00.

On September 19, 1977, and on September 22, 1977, ConRail filed Borrowing Applications pursuant to Section 211(h) of the Act requesting new borrowings of $8,086,537.31 and $18,643,403.00, respectively. Each application includes the certification and exhibits required by the Loan Procedures.

In the September 19, 1977 application, ConRail states that it will apply the $8,-086,537.31 as follows:

1. $3,988,537.31 to payment of certain non-employee related pre-conveyance obligations of the Central Railroad of New Jersey (CNJ);

2. $12,000.00 to payment of pre-conveyance wage claims of the CNJ;

3. $736,000.00 to the payment of pre-conveyance wage claims of the Erie Lackawanna Railway Company;

4. $350,000.00 to the payment of Federal Employer's Liability Act Claims of the Lehigh Valley Railroad Company;

5. $3,000,000 to the payment of preconveyance Federal Employer's Liability Act claims of the Penn Central Transportation Company.

In the September 22, 1977 application, ConRail states that it will apply the $18,-643,403.00 to the payment of certain non-employee related preconveyance obligations of the Penn Central Transportation Company.

Interested parties are invited to submit written comments relevant to this application. Any such submissions must identify, by its Docket No., the application to which it relates, and must be filed with the Office of General Counsel, United States Railway Association, Room 2222, Transpoint Building, 2100 Second Street SW., Washington, D.C. 20595, on or before October 12, 1977, to enable timely consideration by USRA. The docket containing the original application shall be available for public inspection at that address Monday through Friday (holidays excepted) between 8:30 a.m. and 5:00 p.m.

Dated at Washington, D.C., this 26th day of September, 1977.

EDWIN RECTOR,
Assistant Secretary,
United States Railway Association.

[FR Doc.77-28675 Filed 9-28-77;8:45 am]

[8410-01]

WATER RESOURCES COUNCIL

NATIONAL WATER POLICY STUDY

Receipt of Comments

The Water Resources Council has received a large volume of comments on the National Water Policy Study.

As a first step in ensuring our receipt and consideration of the comments recently submitted directly by mail to the Council, the Council is acknowledging in writing all comments received to date. Should you not receive such an acknowledgment within 15 days from the date of your submission, please notify Ms. Wanda M. Phelan, Room 810, 2120 L St. NW., Washington, D.C. 20037. She may be reached at 202-254-6453.

LEO M. EISEL,
Director.

[FR Doc.77-28599 Filed 9-28-77;8:45 am]

[7035-01]

INTERSTATE COMMERCE COMMISSION

[Notice No. 487]

ASSIGNMENT OF HEARINGS

SEPTEMBER 26, 1977.

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. MC 133570 (Sub-No. 5), Melvin A. Atkin, Jr., d.b.a. Atkin's Trucking, now being assigned December 2, 1977 (1 day), at Columbus, Ohio, in a hearing room to be later designated.

MC 118159 (Sub-No. 213), National Refrigerated Transport, Inc., now being assigned November 8, 1977, at Boston, Mass., in a hearing room to be later designated.

MC 13949 (Sub-No. 218), National Carriers, Inc., now assigned November 14, 1977, at San Francisco, Calif., has been advanced to October 17, 1977 (1 week), Room 510, 211 Main Street, San Francisco, Calif.

MC 136343 (Sub-No. 105), Milton Transportation, Inc., now assigned November 1, 1977, at Buffalo, N.Y., is canceled and application dismissed.

MC 114211 Sub 302, Warren Transport, Inc., now being assigned November 14, 1977 (2 days) at San Francisco, Calif., in a hearing room to be later designated.

MC 130382, W. L. (Bill) Deupree and Virginia Deupree, d.b.a. Ship Your Car now being assigned November 16, 1977 (3 days) at San Francisco, Calif., in a hearing room to be later designated.

MC 107107 Sub 454, Alterman Transport Lines, Inc., now being assigned January 17, 1978 (4 days) at Orlando, Fla., in a hearing room to be later designated.

MC 2860 (Sub-No. 162), National Freight, Inc., now being assigned November 1, 1977, at Buffalo, N.Y. (1 day), in a hearing room to be later designated.

MC 142881 Sub 2, Rexford C. Greer, d.b.a. American Truck Stop, now assigned October 18, 1977, at Philadelphia, Pa., is canceled, application dismissed.

MC 133689 Sub 117, Overland Express, Inc., now assigned November 8, 1977, at Boston, Mass., is canceled, application dismissed.

MC 121142 Sub 14, J & G Express, Inc. now assigned November 7 and November 9, 1977, at Greenville, Miss., is canceled and transferred to Modified Procedure.

MC 143056, Lancaster Poultry, Inc., now assigned December 2, 1977, at Columbus, Ohio, is canceled, application dismissed.

MC-F 12967, Graves Truck Line, Inc.—Purchase—Diamond Freightways, Inc., and MC 85696 (Sub-No. 8), Diamond Freightways, Inc., now being assigned for continued hearing on October 25, 1977, at the Offices of the Interstate Commerce Commission, Washington, D.C.

H. G. HOMME, JR.,
Acting Secretary.

[FR Doc.77-28690 Filed 9-28-77;8:45 am]

[7035-01]

FOURTH SECTION APPLICATION FOR RELIEF

SEPTEMBER 26, 1977.

An application, as summarized below, has been filed requesting relief from the requirements of Section 4 of the Interstate Commerce Act to permit common carriers named or described in the application to maintain higher rates and charges at intermediate points than those sought to be established at more distant points.

Protests to the granting of an application must be prepared in accordance with Rule 40 of the General Rules of Practice (49 CFR 1100.40) and filed

within 15 days from the date of publication of this notice in the FEDERAL REGISTER.

FSA No. 43435—*Carbolic Acid (Phenol) or Cresylic Acid from Points in Texas.* Filed by Southwestern Freight Bureau, Agent, (No. B-708), for interested rail carriers. Rates on acid, carbolic (phenol) or acid, cresylic, in tank-car loads, as described in the application, from Baytown, Chocolate Bayou, Houston and Texas City, Texas, to East St. Louis, Illinois and St. Louis, Missouri.

Grounds for relief—Market competition.

Tariff—Supplement 16 to Southwestern Freight Bureau, Agent, tariff 12-K, ICC No. 5272. Rates are published to become effective on November 1, 1977.

FSA No. 43436—*Ethylene Glycol to Forster, South Carolina.* Filed by Southwestern Freight Bureau, Agent, (No. B-709), for interested rail carriers. Rates on ethylene glycol, in tankcar loads, as described in the application, from specified points in Louisiana and Texas, to Forster, South Carolina.

Grounds for relief—Market competition.

Tariff—Supplement 27 to Southwestern Freight Bureau, Agent, tariff 11-H, ICC No. 5242. Rates are published to become effective on November 1, 1977.

By the Commission.

H. G. HOMME, Jr.,
Acting Secretary.

[FR Doc.77-28687 Filed 9-28-77;8:45 am]

[7035-01]

[Notice No. 229]

MOTOR CARRIER BOARD TRANSFER PROCEEDINGS

The following publications include motor carrier, water carrier, broker, and freight forwarder transfer applications filed under sections 212(b), 206(a), 211, 312(b), and 410(g) of the Interstate Commerce Act.

Each application (except as otherwise specifically noted) contains a statement by applicants that there will be no significant effect on the quality of the human environment resulting from approval of the application.

Protests against approval of the application, which may include a request for oral hearing, must be filed with the Commission within 30-days after the date of this publication. Failure seasonably to file a protest will be construed as a waiver of opposition and participation in the proceeding. A protest must be served upon applicants' representative(s), or applicants (if no such representative is named), and the protestant must certify that such service has been made.

Unless otherwise specified, the signed original and six copies of the protest shall be filed with the Commission. All protests must specify with particularity the factual basis, and the section of the Act, or the applicable rule governing the proposed transfer which protestant believes would preclude approval of the application. If the protest contains a request for oral hearing, the request shall be supported by an explanation as to why the evidence sought to be presented cannot reasonably be submitted through the use of affidavits.

The operating rights set forth below are in synopses form, but are deemed sufficient to place interested persons on notice of the proposed transfer.

No. MC-FC-77167, filed June 9, 1977. Transferee: L. E. Pierce and Jimmy L. Ownley, a partnership, doing business as Towe-Pike Grain and Supply Company, Route 2, Hertford, N.C. 27944. Transferor: Garland D. Towe, Garland W. Pike, and Benjamin E. Smith, a partnership, doing business as Towe-Pike Grain and Supply Company, Route 2, Hertford, N.C. 27944. Applicant's representative: L. E. Pierce and Jimmy L. Ownley, doing business as Towe-Pike Grain and Supply Company, Route 2, Hertford, N.C. 27944. Authority sought for purchase by transferee of the operating rights of transferor as set forth in Permit No. MC 139662 (Sub-No. 3), issued July 11, 1977, as follows: Dry fertilizer, in bulk, from the facilities of Swift Agricultural Chemical Co., at or near Suffolk, Va. to Conway and Elizabeth City, N.C. Transferee presently holds no authority from this Commission. Application has not been filed for temporary authority under section 210a(b).

No. MC-FC-77175, filed June 14, 1977. Transferee: Michael's Transfer, Inc., 542 Gray Ave., Winchester, Va. 22601. Transferor: Mabel Lynn Michael (Nevin H. Fiery, Executor), doing business as Michael's Transfer, P.O. Box 565, 422 Gray Ave., Winchester, Va. 22601. Applicants' representative: David C. Venable, Attorney at Law, 805 McLachlen Bank Bldg., 666 Eleventh St. NW., Washington, D.C. 20001. Authority sought for purchase by transferee of the operating rights of transferor, as set forth in Certificates No. MC 45597 and MC 45597 (Sub-No. 1) and (Sub-No. 7) issued March 11, 1941, November 17, 1949 and September 24, 1951, respectively as follows: *Apples and peaches*, form Berryville, Timberville, and Winchester, Va., Inwood and Romney, W. Va., and Hancock, Md., to Washington, D.C., Baltimore, Md., Philadelphia and Pittsburgh, Pa., Durham, Greensboro, Rocky Mount, Raleigh, and Winston-Salem, N.C., and points and places in the New York, N.Y. commercial zone, as defined by the Commission in 1 M.C.C. 665. Fruit products, from Winchester and Strasburg, Va., and Martinsburg, and Inwood, W. Va., to Washington, D.C., Baltimore and Cumberland, Md., Altoona, Pottsburg, and Philadelphia, Pa., New Haven, Conn., Providence, R.I., Boston, Mass., Bluefield, Charleston, Clarksburg, Huntington, Parkersburg, and Williamson, W. Va., Dover, Del., Ashland, Ky., and points and places in North Carolina and Virginia, and those in the New York, N.Y. commercial zone, as defined by the Commission in 1 M.C.C. 665.

Frozen fruits and vegetables, from Winchester, Va., to Washington, D.C., Baltimore and Cumberland, Md., Dover, Del., Altoona, Philadelphia, and Pittsburgh, Pa., Newark, N.J., New Haven, Conn., Providence, R.I., Boston, Mass., Huntington, Bluefield, and Charleston, W. Va., Raleigh, Reidsville, Rocky Mount, Winston-Salem, Durham, and Greensboro, N.C., and points and places in the New York, N.Y. commercial zone, as defined by the Commission in 1 M.C.C. 665. *Feed, fertilizer, lumber, and spray materials*, from Baltimore, Md., to Winchester, Va. *Groceries*, from Balitmore, Md., to Winchester, Va., and Martinsburg, W. Va. *Oil and grease*, from Pittsburgh, Pa., to Winchester and Berryville, Va. *Livestock*, from Winchester and Front Royal, Va., to Baltimore and Westminister, Md., Lancaster, Meyersdale, Chambersburg, Greencastle, Altoona, and Harrisburg, Pa., and Martinsburg, W. Va. from points and places in Berkeley, Jefferson, Morgan, Hampshire, Grant, Hardy, and Mineral Counties, W. Va., to Winchester, Va. *Glass containers*, from Washington, Pa., Fairmont, Grafton, and Huntington, W. Va., to Winchester, Va., and Martinsburg, W. Va., and return with no transportation for compensation except as otherwise authorized, to the above-specified origin points. *Household goods*, between Winchester, Va., on the one hand, and, on the other, Washington, D.C., New York, N.Y., and points and places in West Virginia, Maryland, Delaware, Pennsylvania, and New Jersey. *Frozen fruits, frozen fruit juicies*, and *frozen vegetables*, over irregular routes, from Winchester, Va., to points and places in Maryland, Delaware, Pennsylvania, New Jersey, New York, Connecticut, Rhode Island, Massachusetts, New Hampshire, Vermont, Maine, Ohio, West Virginia, Virginia, North Carolina, South Carolina, Georgia, Tennessee, Alabama, Kentucky, and Florida. *Frozen fruits* and *frozen prepared foods* for human consumption, over irregular routes, from Ranson, W. Va., to points and places in Maryland, Delaware, Pennsylvania, New Jersey, New York, Connecticut, Rhode Island, Massachusetts, New Hampshire, Vermont, Maine, Ohio, West Virginia, Virginia, North Carolina, South Carolina, Georgia, Tennessee, Alabama, Kentucky, and Florida. *Frozen fruits, frozen vegetables, and frozen fruit juices*, over irregular routes, between Winchester, Va., and Ranson, W. Va., on the one hand, and, on the other, points in Arkansas, Illinois, Indiana, Iowa, Kansas, Louisiana, Michigan, Mississippi, Missouri, Oklahoma, Texas, and Wisconsin. Transferee presently holds no authority from this Commission. Application has not been filed for temporary authority under section 210a(b).

No. MC-FC 77284, filed September 2, 1977. Transferee: Weaver Trucking, Inc., R.F.D. No. 1, Osawatomie, Kans. 66064. Transferor: R. W. Weaver, doing business as Weaver Truck Line, R.F.D. No. 1, Osawatomie, Kans. 66064. Applicant's representative: Erle W. Francis, Attorney at Law, 719 Capitol Federal Building, Topeka, Kans. 66603. Authority sought

for purchase by transferee of the operating rights of transferor, as set forth in Certificates Nos. MC 109411 issued April 22, 1964, and MC 109411 (Sub-No. 2) issued July 25, 1968, as follows: No. MC 109411: Over irregular routes, Agricultural machinery, agricultural implements, and agricultural products, and emigrant movables (except those included in the aforementioned commodities), between specified points in Kansas, on the one hand, and, on the other, specified points in Missouri; Lumber, millwork, roofing materials, cement, plaster, sheet metal, building blocks, clay products, hardware, paints, varnishes, wallboard, and reinforcing steel, from specified points in Missouri to specified points in Kansas; and building blocks, clay products, and stone, from specified points in Missouri to specified points in Kansas. No. MC 109411 (Sub-No. 2): Over regular routes with specified highways therein, livestock, furniture, and household goods as defined by the Commission, from Osawatomie, Kans., to Kansas City, Mo., general commodities (with exceptions) on return, serving Kansas City, Kans., as an intermediate and off-route point of the foregoing regular routes, with a described restriction; Livestock, empty drums, and barrels, from Rantoul, Kans., to Kansas City, Mo., serving the intermediate and off-route points within 10 miles of Rantoul, restricted to pickup only, and the intermediate point of Kansas City, Kans., restricted to delivery only; Petroleum products, in containers, feed, livestock, and agricultural implements and parts, from Kansas City, Mo., to Rantoul, Kans., serving the intermediate and off-route points within 10 miles of Rantoul, Kans., restricted to delivery only, and the intermediate point of Kansas City, Kans., restricted to pickup only; Walnut logs, from Boicourt, Kans., to Kansas City, Mo., over unnumbered highway and U.S. Highway 69, serving the intermediate and off-route points within 10 miles of Boicourt, restricted to pickup only, and the intermediate point of Kansas City, Kans., restricted to delivery only; Agricultural implements and parts, feed, fertilizer, building materials, and fencing material, from Kansas City, Mo., over the immediately above-specified route, to Boicourt, Kans., serving the intermediate point of Kansas City, Kans., restricted to pickup only, and serving the intermediate and off-route points within 10 miles of Boicourt, restricted to delivery only; and Livestock, between Boicourt, Kans., and Kansas City, Mo., over unnumbered highway and U.S. Highway 69, serving the intermediate and off-route points of Kansas City, Kans., and those within 15 miles of Boicourt. Transferee presently holds no authority from this Commission. Application has not been filed for temporary authority under section 210a(b).

H. G. HOMME, Jr.,
Acting Secretary.

[FR Doc.77-28692 Filed 9-28-77;8:45 am]

[7035-01]

[Notice No. 230]

MOTOR CARRIER TRANSFER PROCEEDINGS

SEPTEMBER 29, 1977.

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-77321. By application filed September 22, 1977, DIXON LEASING CO., INC., Old Egg Harbor Road, Lindenwold, N.J., 08201, seeks authority to temporarily lease the operating rights of GEORGE W. BOYER, 684 Sunrise Drive, Avalon, N.J., 08202, under section 210a(b). The transfer to DIXON LEASING CO., INC., of the operating rights of GEORGE W. BOYER, is presently pending.

By the Commission.

H. G. HOMME, Jr.,
Acting Secretary.

[FR Doc.77-28691 Filed 9-28-77;8:45 am]

[Volume No. 35]

PETITIONS, APPLICATIONS, FINANCE MATTERS (INCLUDING TEMPORARY AUTHORITIES), RAILROAD ABANDONMENTS, ALTERNATE ROUTE DEVIATIONS, AND INTRASTATE APPLICATIONS

Correction

In FR Doc. 77-27412 appearing at page 47912 in the issue of Thursday, September 22, 1977, in the first column on page 47925, "No. MC 125433 (Sub-No. 115)" should read "No. MC 125433 (Sub-No. 114)" and "No. MC 125433 (Sub-No. 155)" should read "No. MC 125433 (Sub-No. 115)".

[7035-01]

[Volume No. 36]

PETITIONS, APPLICATIONS, FINANCE MATTERS (INCLUDING TEMPORARY AUTHORITIES), RAILROAD ABANDONMENTS, ALTERNATE ROUTE DEVIATIONS, AND INTRASTATE APPLICATIONS

SEPTEMBER 23, 1977.

Petitions for Modification, Interpretation, or Reinstatement of Operating Rights Authority

The following petitions seek modification or interpretation of existing operating rights authority, or reinstatement of terminated operating rights authority.

The Commission has recently provided for easier identification of substantive petition matters and all documents should clearly specify the "docket", "sub", and "suffix" (e.g. M1, M2) numbers identified by the FEDERAL REGISTER notice.

An original and one copy of protests to the granting of the requested authority must be filed with the Commission on or before October 31, 1977. Such protest shall comply with Special Rule 247(d) of the Commission's General Rules of Practice (49 CFR 1100.247)[1] and shall include a concise statement of protestant's interest in the proceeding and copies of its conflicting authorities. Verified statements in opposition should not be tendered at this time. A copy of the protest shall be served concurrently upon petitioner's representative, or petitioner if no representative is named.

No. MC 94742 (Sub-No. 36) (M1) (Notice of filing of a petition to remove restriction), filed August 15, 1977. Petitioner: MICHAUD BUS LINES, INC., 63 Jefferson Avenue, Salem, Mass. 01970. Petitioner's representative: Robert G. Parks, 20 Walnut Street, Wellesley, Mass. 02181. Petitioner holds a motor *common carrier* certificate in No. MC 94742 (Sub-No. 36), issued April 16, 1974, authorizing, as pertinent, transportation, over regular routes, of: (1) Passengers and their baggage, and newspapers, in the same vehicle with passengers, during the season extending from the 1st day of May to the 1st day of October, inclusive, of each year, between Salisbury, Mass., and Hampton Beach, N.H., serving no intermediate points: From Salisbury over Massachusetts Highway 1A to the Massachusetts-New Hempshire State line, thence over New Hampshire Highway 1A to Hampton Beach, and return over the same route, serving the points of Seabrook, Hampton Falls, and Hampton, N.H., over U.S. Highway 1, from New Hampshire Highway 1A, and return; (2) Passengers and their baggage, during the season extending from the 1st day of May to the 1st day of October, inclusive, of each year, between Lowell, Mass., and Hampton Beach, N.H., serving all intermediate points: From Lowell over Massachusetts Highway 110 to junction U.S. Highway 1, thence over U.S. Highway 1 to Hampton, N.H., thence over New Hampshire Highway 101E (Beach Road), to junction New Hampshire Highway 1A, and thence over New Hampshire Highway 1A to Hampton Beach, and return over the same route; (3) Alternate route for operating convenience only: Passengers and their baggage, during the season extending from the 1st day of May to the 1st day of October, inclusive, of each year, between junction New Hampshire Highway 110 and U.S. Highway 1 and junction South Main Street and New Hampshire Highway 1A (near Seabrook Beach), in connection with carrier's regular route operations authorized herein, serving no intermediate points: From junction New Hampshire Highway 110 and U.S. Highway 1 at or near Smithtwon in Seabrook, N.H., over Walton Road to junction Washington Street, thence over Washington Street to junction South Main Street, thence over South Main Street to junction New

[1] Copies of Special Rule 247 (as amended) can be obtained by writing to the Secretary, Interstate Commerce Commission, Washington, D.C. 20423.

Hampshire Highway 1A, and return over the same route. Restriction: The operations authorized under the 3 passenger routes next above are restricted against the transportation of passengers moving between Boston, Mass., on the one hand, and, on the other, Hampton Beach, N.H., and points intermediate to the latter point and the New Hampshire-Massachusetts State line. By the instant petition, petitioner seeks to modify the above authority by deleting the seasonal restriction "during the season from the 1st day of May to the 1st day of October, inclusive, of each year" from wherever it appears in the above authority.

No. MC 115036 (Sub-Nos. 21 and 23) (M1) (Notice of filing of petition to add an additional contracting shipper) filed August 16, 1977. Petitioner: VAN TASSEL, INC., 5th and Grand, Pittsburg, Kans. 66762. Petitioner's representative; Dean Williamson, 280 National Foundation Life Bldg., 3535 N.W. 58th Street, Oklahoma City, Okla. 73112. Petitioner holds motor *contract carrier* permits in No. MC 115036 (Sub-Nos. 21 and 23) issued August 25, 1972 and July 1, 1974, respectively, authorizing transportation (A) in No. MC 115036 (Sub-No. 21), over irregular routes, of (1) *Materials* used in the manufacture of urethane (except commodities in bulk) and (2) *equipment* used in the mixture and discharge of the commodities described in (1), from Pittsburg, Kans., to points in the United States in and east of North Dakota, South Dakota, Nebraska, Colorado, and New Mexico. Restriction: The operations authorized herein are subject to the following conditions: Said operations are limited to a transportation service to be performed under a continuing contract, or contracts with W. S. Dickey Clay Manufacturing Company, of Pittsburg, Kans. The authority granted herein shall be subject to the right of the Commission, which is hereby expressly reserved, to impose such terms, conditions or limitations in the future as it may find necessary in order to insure that carrier's operations shall conform to the provisions of Section 210 of the Act; and (B) in No. MC 115036 (Sub-No. 23), over irregular routes, of (1) *materials* used in the manufacture of urethane (except commodities in bulk), from Pittsburg, Kans., to points in that part of the United States in and west of Montana, Wyoming, Utah, and Arizona (except Alaska and Hawaii), and from points in the United States (except Alaska, Hawaii, Illinois, Indiana, Michigan, Missouri, New Jersey, New York, Ohio, Pennsylvania, and Wisconsin), to Pittsburg, Kans.; and (2) *Equipment* used in the mixture and discharge of the commodities in (1) above, from Pittsburg, Kans., to points in that part of the United States in and west of Montana, Wyoming, Utah, and Arizona (except Alaska and Hawaii), and from points in the United States (except Alaska and Hawaii), to Pittsburg, Kans. Restriction: The operations authorized herein are subject to the following conditions: Said operations are limited to a transportation service to be performed, under a continuing contract or contracts, with W. S. Dickey Clay Manufacturing Company of Pittsburg, Kans. The authority granted herein shall be subject to the right of the Commission, which is hereby expressly reserved, to impose such terms, conditions or limitation in the future as it may find necessary in order to insure that carrier's operations shall conform to the provisions of section 210 of the Act. By the instant petition, petitioner seeks to include Pitzer, Inc. of Pittsburg, Kans. as an additional contracting shipper in each of the above permits.

Republications of Grants of Operating Rights Authority Prior to Certification

NOTICE

The following grants of operating rights authorities are republished by order of the Commission to indicate a broadened grant of authority over that previously noticed in the Federal Register.

An original and one copy of a petition for leave to intervene in the proceeding must be filed with the Commission on or before October 31, 1977. Such pleading shall comply with Special Rule 247 (d) of the Commission's General Rules of Practice (49 CFR 1100.247) addressing specifically the issue(s) indicated as the purpose for republication, and including copies of intervenor's conflicting authorities and a concise statement of intervenor's interest in the proceeding setting forth in detail the precise manner in which it has been prejudiced by lack of notice of the authority granted. A copy of the pleading shall be served concurrently upon the carrier's representative, or carrier if no representative is named.

No. MC 95876 (Sub-No. 140) (Republication) filed May 21, 1973, published in the Federal Register issue of June 21, 1973, and republished this issue. Applicant: ANDERSON TRUCKING SERVICE, INC., 203 Cooper Avenue North, St. Cloud, Minn. 56301. Applicant's representative: Donald A. Morken, 1000 First National Bank Building, Minneapolis, Minn. 55402. A Decision and Order of the Commission, Division 1, dated August 5, 1977, and served August 23, 1977, authorizes operation by applicant, in interstate or foreign commerce, as a *common carrier* by motor vehicle, over irregular routes, (1) of *general commodities* (except those of unusual value, classes A and B explosives, household goods as defined by the Commission, commodities in bulk, commodities requiring special equipment, and automobiles, trucks, and buses), in containers or in trailers, having an immediately prior or subsequent movement by water, or by water-rail, or by air, (a) between points in Minnesota, Montana, North Dakota, South Dakota, Iowa, Nebraska, Wisconsin, and Illinois, and (b) between the points set forth in (a) above, on the one hand, and, on the other, points in the United States (except Alaska and Hawaii); (2) of *empty containers, trailers, and trailer chassis* between points in the United States (except Alaska and Hawaii); (3) of *agricultural commodities* the transportation of which is partially exempt from economic regulation under the provisions of section 203(b)(6) of the Interstate Commerce Act, in mixed loads with the commodities described in (2) above, between points in the United States (except Alaska and Hawaii). The purpose of this republication is to indicate the additional grant of authority in (3) above.

No. MC 107456 (Sub-No. 20) (Republication) filed April 6, 1973, published in the Federal Register issue of May 24, 1973, and republished this issue. Applicant: HARRY L. YOUNG & SONS, INC., 542 West Sixth South, Salt Lake City, Utah 84104. Applicant's representative: Lon Rodney Kump, 720 Newhouse Building, Salt Lake City, Utah 84111. A Decision and Order of the Commission, Division 1, dated August 5, 1977, and served August 23, 1977, authorizes operation by applicant, in interstate or foreign commerce, as a *common carrier*, by motor vehicle, over irregular routes, (1) *of General commodities* (except those of unusual value, classes A and B explosives, household goods as defined by the Commission, commodities in bulk, commodities requiring special equipment, and automobiles, trucks, and buses), in containers or in trailers, having an immediately prior or subsequent movement by water, between points in California, Oregon, Washington, Idaho, Montana, Utah, Arizona, and Nevada; (2) of *empty containers, trailers and trailer chassis* between points in California, Oregon, Washington, Idaho, Montana, Utah, Arizona, and Nevada; and (3) of *agricultural commodities* the transportation of which is partially exempt from economic regulation under the provisions of section 203(b)(6) of the Interstate Commerce Act in mixed loads with the commodities described in (2) above, between points in California, Oregon, Washington, Idaho, Montana, Utah, Arizona, and Nevada. The purpose of this republication is to indicate the additional grant of authority in (3) above.

No. MC 108119 (Sub-No. 40) (Republication) filed May 7, 1973, published in the Federal Register issue of June 14, 1973, and republished this issue. Applicant: E. L. MURPHY TRUCKING CO., a Corporation, P.O. Box 3010, St. Paul, Minn. 55165. Applicant's representative: Donald A. Morken, 1000 First National Bank Building, Minneapolis, Minn. 55402. A Decision and Order of the Commission, Division 1, dated August 5, 1977, and served August 23, 1977, authorizes operation by applicant, in interstate or foreign commerce, as a *common carrier* by motor vehicle, over irregular routes, (1) of *General commodities* (except those of unusual value, classes A and B explosives, household goods as defined by

the Commission, commodities in bulk, commodities requiring special equipment, and automobiles, trucks, and buses), in containers or in trailers, having an immediately prior or subsequent movement by water, or by water-rail, or by air, (a) between points in Minnesota, Montana, North Dakota, South Dakota, Iowa, Nebraska, Wisconsin, and Illinois, and (b) between the points set forth in (a) above, on the one hand, and, on the other, points in the United States (except Alaska and Hawaii); (2) of *empty containers, trailers, and trailer chassis* between points in the United States (except Alaska and Hawaii); (3) of *agricultural commodities* the transportation of which is partially exempt from economic regulation under the provisions of section 203(b)(6) of the Interstate Commerce Act, in mixed loads with the commodities described in (2) above, between points in the United States (except Alaska and Hawaii). The purpose of this republication is to indicate the additional grant of authority in (3) above.

No. MC 108119 (Sub-No. 52) (Republication) filed November 18, 1976, published in the FEDERAL REGISTER issue of December 16, 1976, and republished this issue. Applicant: E. L. MURPHY TRUCKING CO., a Corporation, 3303 Sibley Memorial Highway, P.O. Box 3010, St. Paul, Minn. 55165. Applicant's representative: Andrew R. Clark, 1000 First National Bank Bldg., Minneapolis, Minn. 55402. An Order of the Commission, Review Board Number 3, dated August 23, 1977, and served September 16, 1977, finds that the present and future public convenience and necessity require operation by applicant, in interstate or foreign commerce, as a *common carrier* by motor vehicle, over irregular routes, in the transportation of (1) *rock crusher equipment*, and (2) *parts* for rock crusher equipment, from the facilities of Hewitt-Robins, Inc., at Richland County, S.C., to points in the United States (except Florida, South Carolina, Alaska, and Hawaii). Applicant is fit, willing, and able properly to perform the granted service and to conform to the requirements of the Interstate Commerce Act and the Commission's rules and regulations. The purpose of this republication is to indicate the additional commodity grant in (2) above in applicant's grant of authority.

No. MC 113678 (Sub-No. 657) (Republication) filed March 4, 1977, published in the FEDERAL REGISTER issue April 14, 1977, and republished this issue. Applicant: CURTIS, INC., 4810 Pontiac Street, Commerce City, Colo. 80022. Applicant's representative: Richard A. Peterson, P.O. Box 81849, Lincoln, Nebr. 68501. An Order of the Commission, Review Board Number 1, dated September 6, 1977, and served September 16, 1977, finds that the present and future public convenience and necessity require operation by applicant, in interstate or foreign commerce, as a *common carrier* by motor vehicle, over irregular routes, transporting: *Glassware* from Shreveport, La., to points in Colorado, that applicant is fit, willing, and able properly to perform the granted service and to conform to the requirements of the Interstate Commerce Act and the Commission's regulations thereunder. The purpose of this republication is to indicate the substitution of Colorado as the destination, in lieu of Denver, Colo. in applicant's grant of authority.

No. MC 113855 (Sub-No. 258) (republication), filed September 6, 1972, published in the FEDERAL REGISTER issue of September 28, 1972, and republished this issue. Applicant: INTERNATIONAL TRANSPORT, INC., 2450 Marion Road SE., Rochester, Minn. 55901. Applicant's representative: Alan Foss, 502 First National Bank Building, Fargo, N. Dak. 58102. A decision and order of the Commission, Division 1, dated August 5, 1977, and served August 23, 1977, authorizes operation by applicant, in interstate or foreign commerce, as a *common carrier* by motor vehicle, over irregular routes, (1) of *General commodities* (except those of unusual value, classes A and B explosives, household goods as defined by the Commission, commodities in bulk, commodities requiring special equipment, and automobiles, trucks and buses), in containers or in trailers, having an immediately prior or subsequent movement by water, or by water-rail, or by air, (a) between points in Minnesota, Montana, North Dakota, South Dakota, Iowa, Nebraska, Wisconsin, and Illinois, and (b) between the points set forth in (a) above, on the one hand, and, on the other, points in the United States (except Alaska and Hawaii); (2) of *empty containers, trailers, and trailer chassis* between points in the United States (except Alaska and Hawaii); (3) of *agricultural commodities* the transportation of which is partially exempt from economic regulation under the provisions of section 203(b)(6) of the Interstate Commerce Act in mixed loads with the commodities described in (2) above, between points in the United States (except Alaska and Hawaii). The purpose of this republication is to indicate the additional grant of authority in (3) above.

No. MC 123407 (Sub-No. 134) (republication), filed July 19, 1973, published in the FEDERAL REGISTER issue of October 4, 1973, and republished this issue. Applicant: SAWYER TRANSPORT, INC., South Haven Square, U.S. Highway 6, Valparaiso, Ind. 46383. Applicant's representative: Robert W. Sawyer (same address as applicant). A decision and order of the Commission, Division 1, dated August 5, 1977, and served August 23, 1977, authorizes operation by applicant, in interstate or foreign commerce, as a *common carrier* by motor vehicle, over irregular routes, (1) of *General commodities* (except those of unusual value, classes A and B explosives, household goods as defined by the Commission, commodities in bulk, commodities requiring special equipment, and automobiles, trucks, and buses), in containers or in trailers, having an immediately prior or subsequent movement by water, or by water-rail, or by air, (a) between points in Minnesota, Montana, North Dakota, South Dakota, Iowa, Nebraska, Wisconsin, and Illinois, and (b) between the points set forth in (a) above, on the one hand, and, on the other, points in the United States (except Alaska and Hawaii); (2) of *empty containers, trailers, and trailer chassis* between points in the United States (except Alaska and Hawaii); (3) of *agricultural commodities* the transportation of which is partially exempt from economic regulation under the provisions of section 203(b)(6) of the Interstate Commerce Act in mixed loads with the commodities described in (2) above, between points in the United States (except Alaska and Hawaii). The purpose of this republication is to indicate the additional grant of authority in (3) above.

MOTOR CARRIER, WATER CARRIER, AND FREIGHT FORWARDER OPERATING RIGHTS APPLICATIONS

NOTICE

The following applications are governed by Special Rule 247 of the Commission's General Rules of Practice (49 CFR § 1100.247). These rules provide, among other things, that a protest to the granting of an application must be filed with the Commission within 30 days after the date of notice of filing of the application is published in the FEDERAL REGISTER. Failure to seasonably file a protest will be construed as a waiver of opposition and participation in the proceeding. A protest under these rules should comply with section 247(d)(3) of the rules of practice which requires that it set forth specifically the grounds upon which it is made, contain a detailed statement of protestant's interest in the proceeding (including a copy of the specific portions of its authority which protestant believes to be in conflict with that sought in the application, and describing in detail the method—whether by joinder, interline, or other means—by which protestant would use such authority to provide all or part of the service proposed), and shall specify with particularity the facts, matters, and things relied upon, but shall not include issues or allegations phrased generally. Protests not in reasonable compliance with the requirements of the rules may be rejected. The original and one copy of the protest shall be filed with the Commission, and a copy shall be served concurrently upon applicant's representative, or applicant if no representative is named. If the protest includes a request for oral hearing, such requests shall meet the requirements of section 247(d)(4) of the special rules, and shall include the certification required therein.

Section 247(f) further provides, in part, that an applicant who does not intend timely to prosecute its application shall promptly request dismissal thereof, and that failure to prosecute an application under procedures ordered by the Commission will result in dismissal of the application.

Further processing steps will be by Commission order which will be served on each party of record. Broadening amendments will not be accepted after the date of this publication except for good cause shown, and restrictive amendments will not be entertained following publication in the FEDERAL REGISTER of a notice that the proceeding has been assigned for oral hearing.

Each applicant states that there will be no significant effect on the quality of the human environment resulting from approval of its application.

Docket No. MC 200 (Sub-No. 293), filed August 19, 1977. Applicant: RISS INTERNATIONAL CORP., 903 Grand Avenue, Kansas City, Mo. 64106. Applicant's representative: Rodger J. Walsh, Suite 1200, Temple Building, 903 Grand Avenue, Kansas City, Mo. 64106. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Frozen foods*, from the plantsite and storage facilities utilized by Campbell Soup Co., Inc., at or near Salisbury and Pocomoke City, Md., to points in Ohio, Michigan, and Kentucky.

NOTE.—If a hearing is deemed necessary, the applicant requests it be held at Washington, D.C., or Kansas City, Mo.

No. MC 2960 (Sub-No. 18), filed August 17, 1977. Applicant: ENGLAND TRANSPORTATION COMPANY OF TEXAS, 2301 McKinney Street, Houston, Tex. 77023. Applicant's representative: E. Larry Wells, Corporation, Suite 1125 Exchange Park, P.O. Box 45538, Dallas, Tex. 75245. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting *general commodities*, (except those of unusual value, Classes A and B explosives, livestock, household goods, as defined by the Commission, commodities in bulk and those requiring special equipment) between Houston, Galveston and Freeport, Tex., on the one hand, and, on the other, Lake Charles and Shreveport, La., and those points and places in Texas on the east of U.S. Highway 277 from the Red River through Wichita Falls and Abilene, Tex., to San Angelo, Tex., thence U.S. Highway 87 to San Antonio, Tex. and thence U.S. Highway 81 to Laredo, Tex.

NOTE.—If a hearing is deemed necessary, the applicant requests that it be held at Dallas, Tex., or Houston, Tex.

Docket No. MC 5470 (Sub-No. 130), filed August 17, 1977. Applicant: TAJON, INC., R.D. 5, Mercer, Pa. 16137. Applicant's representative: Brian L. Troiano, 918–16th Street NW., Washington, D.C. 20006. Authority sought to operate as a *common carrier*, by motor vehicle over irregular routes, transporting: *Scrap metals*, in dump vehicles, between points in Alabama, Florida, Georgia, Kentucky, Louisiana, Maryland, Mississippi, North Carolina, Ohio, Pennsylvania, South Carolina, Tennessee, Texas, Virginia, and West Virginia.

NOTE.—If a hearing is deemed necessary, applicant requests that it be held in Washington, D.C., or Cincinnati, Ohio.

Docket No. MC 5470 (Sub-No. 131), filed August 16, 1977. Applicant: TAJON, INC., R.D. 5, Mercer, Pa. 16137. Applicant's representative: Brian L. Troiano, 918–16th Street NW., Washington, D.C. 20006. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Agricultural limestone*, in dump vehicles, from the plantsite and facilities of Basic Incorporated located at or near Maple Grove, Ohio, to points in Chautauqua and Allegany Counties, N.Y.; points in Pennsylvania on and west of U.S. Highway 15; and those points in West Virginia which are on and north of U.S. Highway 60 and on and west of U.S. Highway 219.

NOTE.—If a hearing is deemed necessary, applicant requests that it be held in Washington, D.C., or Pittsburgh, Pa.

Docket No. MC 5470 (Sub-No. 132), filed August 23, 1977. Applicant: TAJON, INC., R.D. 5, Mercer, Pa. 16137. Applicant's representative: Brian L. Troiano, 918–16th Street NW., Washington, D.C. 20006. Authority sought to operate as a *common carrier*, by motor vehicle over irregular routes, transporting: *Abrasive materials and refractory products*, in dump vehicles, from Buffalo, N.Y., to Jackson and Quinnesec, Mich., and Philadelphia, Pa.

NOTE.—If a hearing is deemed necessary, applicant requests that it be held at Washington, D.C., or Buffalo, N.Y.

No. MC 11207 (Sub-No. 398), filed August 19, 1977. Applicant: DEATON, INC., 317 Avenue W, P.O. Box 938, Birmingham, Ala. 35201. Applicant's representative: Kim D. Mann, Suite 1010, 7101 Wisconsin Avenue, Washington, D.C. 20014. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: (1) *Lumber, lumber products, wood particleboard, and plywood*, from the plant and warehouse facilities of MacMillan Bloedel, Inc. located at or near Opelika, Ala., to points in Arkansas, Florida, Georgia, Kentucky, Louisiana, Mississippi, Missouri, North Carolina, Oklahoma, South Carolina, Tennessee, Texas, Virginia, and West Virginia; (2) *materials, equipment, machinery, and supplies* used in the manufacture processing and distribution of lumber, lumber products, wood particleboard, and plywood (except commodities in bulk), from points in Arkansas, Florida, Georgia, Kentucky, Louisiana, Mississippi, Missouri, North Carolina, Oklahoma, South Carolina, Tennessee, Texas, Virginia, and West Virginia, to the plant and warehouse facilities of MacMillan Bloedel, Inc. located at or near Opelika, Ala.; (3) *lumber, lumber products, wood particleboard, plywood, paper and paper products*, from the plant and warehouse facilities of MacMillan Bloedel, Inc. located at or near Pine Hill, Ala., to points in Arkansas, Florida, Georgia, Kentucky, Louisiana, Mississippi, Missouri, North Carolina, Oklahoma, South Carolina, Tennessee, Texas, Virginia, and West Virginia; and (4) *materials, equipment, machinery, and supplies*, used in the manufacture, processing and distribution of lumber, lumber products, wood particleboard, plywood, paper, and paper products (except commodities in bulk), from points in Arkansas, Florida, Georgia, Kentucky, Louisiana, Mississippi, Missouri, North Carolina, Oklahoma, South Carolina, Tennessee, Texas, Virginia, and West Virginia to the plant and warehouse facilities of McMillan Bloedel, Inc. located at or near Pine Hill, Ala.

NOTE.—If a hearing is deemed necessary, applicant requests that it be held at Birmingham, Ala., or Atlanta, Ga.

No. MC 19778 (Sub-No. 97), filed August 24, 1977. Applicant: THE MILWAUKEE MOTOR TRANSPORTATION COMPANY, a corporation, 516 West Jackson Boulevard—Suite 508, Chicago, Ill. 60606. Applicant's representative: Jerome Anderson, Suite 100 Transwestern Building, 404 North 31st Street, Billings, Mont. 59101. Authority sought to operate as a *common carrier*, over irregular routes, transporting: General Commodities (except those of unusual value, Classes A and B explosives, household goods as defined by the Commission, commodities in bulk, and those requiring special equipment): Between Cynthiana, Kentucky and Louisville, Kentucky, restricted to transportation of shipments having a prior or subsequent movement by rail.

NOTE.—Common control may be involved. If hearing is deemed necessary, applicant requests that it be held at either Chicago, Ill., or Louisville, Ky.

No. MC 29079 (Sub-No. 92), filed August 17, 1977. Filed: August 16, 1977. Applicant: BRADA MILLER FREIGHT SYSTEM, INC., 1210 South Union, P.O. Box 935, Kokomo, Ind. 46901. Applicant's representative: Richard H. Streeter, 704 Southern Building, Washington, D.C. 20005. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Refractory and refractory materials*, from Portsmouth, Jackson, Oak Hill, Pedro and South Webster, Ohio, to points in Indiana, and points in the Lower Peninsula of Michigan (except points located on and south of Michigan Highway 21 from Holland to Grand Rapids, on and south of U.S. Highway 16 from Grand Rapids to Lansing, and on and west of U.S. Highway 27 from Lansing to the Michigan-Indiana State boundary line).

NOTE.—If a hearing is deemed necessary, the applicant requests it be held at either Columbus, Ohio, or Washington, D.C.

No. MC 29648 (Sub-No. 13), filed August 16, 1977. Applicant: E. F. SMITH, INC., P.O. Box 73, Roaring Spring, Pa. 16673. Applicant's representative: John M. Musselman, P.O. Box 1146, 410 North Third Street, Harrisburg, Pa. 17108. Authority sought to operate as a *common carrier*, over irregular routes, transporting: *Fuel oil*, from Baltimore, Md., to the facilities of Appleton Papers Division of The National Cash Register Company located at Roaring Spring, Pa.

NOTE.—If a hearing is deemed necessary, applicant requests that it be held at Harrisburg, Pa., or Washington, D.C.

No. MC 31389 (Sub-No. 230), filed August 24, 1977. Applicant: McLEAN TRUCKING COMPANY, a corporation, 617 Waughtown Street, Winston-Salem, N.C. 27107. Applicant's representative: David F. Eshelman, P.O. Box 213, Winston-Salem, N.C. 27102. Authority sought to operate as a *common carrier*, by motor vehicle, over regular routes, transporting: *General commodities* (except those of unusual value, Classes A and B explosives, household goods as defined by the Commission, commodities in bulk, and those requiring special equipment), serving the plantsite and distribution facilities of Baltic Rubber and Plastic Co., located at or near Baltic, Ohio; and the plantsite and distribution facilities of Scio Pottery Co., Inc., located at or near Scio, Ohio, as off-route points in conjunction with applicant's regular route operations.

NOTE.—Common control may be involved. If a hearing is deemed necessary, applicant requests that it be held at Columbus, Ohio, or Washington, D.C.

No. MC 31389 (Sub-No. 231), filed August 24, 1977. Applicant: McLEAN TRUCKING COMPANY, a corporation, 617 Waughtown Street, Winston-Salem, N.C. 27107. Applicant's representative: David F. Eshelman, P.O. Box 213, Winston-Salem, N.C. 27102. Authority sought to operate as a *common carrier*, by motor vehicle, over regular routes, transporting: *General commodities* (except those of unusual value, Classes A and B explosives, household goods as defined by the Commission, commodities in bulk, and those requiring special equipment), serving the facilities of the Rockport Generating Plant, Indiana & Michigan Electric Co., located at or near Rockport, Ind., as an off-route point in conjunction with applicant's regular route operations.

NOTE.—Common control may be involved. If a hearing is deemed necessary, applicant requests that it be held at New York, N.Y., or Washington, D.C.

No. MC 35628 (Sub-No. 393), filed August 23, 1977. Applicant: INTERSTATE MOTOR FREIGHT SYSTEM, 134 Grandville Avenue SW., Grand Rapids, Mich. 49503. Applicant's representative: Michael P. Zell, 134 Grandville Avenue SW., Grand Rapids, Mich. 49503. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting (1) Foodstuffs, and (2) meats, meat products, meat byproducts, and articles distributed by meat packing plants, as described in sections A and C of Appendix I to the report in *Descriptions in Motor Carrier Certificates*; M.C.C. 209 and 766 (except hides and commodities in bulk) from Rockville, Missouri to points in Iowa, Illinois, Indiana, Kansas, Minnesota, Nebraska, Ohio, Oklahoma, Pennsylvania, South Dakota, and Wisconsin, restricted to commodities originating at named origin, and destined to named points.

NOTE.—If a hearing is deemed necessary, applicant requests that it be held at Kansas City, Kan., Minneapolis, Minn., or Washington, D.C.

Docket MC 41116 (Sub-No. 53), filed August 19, 1977. Applicant: FOGLEMAN TRUCK LINE, INC., P.O. Box 1504, Crowley, La. 70526. Applicant's representative: Austin L. Hatchell, 1102 Perry Brooks Bldg., Austin, Tex. 78701. Authority sought as a *contract carrier*, by motor vehicle, over irregular routes, transporting: (1) *Paper and Paper Products, and Products produced or distributed by manufacturers and converters of paper and paper products;* and (2) *Materials and Supplies* used in the manufacture and distribution of the commodities in (1) above (except commodities in bulk and commodities which because of size or weight require the use of special equipment) between the plantsite of Southland Paper Mills, Inc., at or near Herty and Sheldon, Tex., on the one hand, and, on the other, points in Arkansas, Louisiana, Mississippi, and Oklahoma under a continuing contract with Southland Paper Mills, Inc.

NOTE.—Applicant holds motor common carrier authority in No. MC 123993, and subs thereunder, therefore dual operations may be involved. If a hearing is deemed necessary, applicant requests that it be held at Houston, Tex., or New Orleans, La.

No. MC 42261 (Sub-No. 129), filed August 22, 1977. Applicant: LANGER TRANSPORT CORP., Box 305, Jersey City, N.J. 07303. Applicant's representative: W. C. Mitchell, 370 Lexington Avenue, New York, N.Y. 10017. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Water reducing admixtures, liquid*, in bulk, in tank vehicles, from Linden, N.J., to points in Maine, New Hampshire, Vermont, Massachusetts, Rhode Island, Connecticut, New York, Maryland, Delaware, District of Columbia, Pennsylvania, West Virginia, Ohio, Virginia, and Tennessee.

NOTE.—If a hearing is deemed necessary, the applicant requests it be held at New York, N.Y.

No. MC 55896 (Sub-No. 54), filed August 19, 1977. Applicant: R–W SERVICE SYSTEM, INC., 20225 Goddard Road, Taylor, Mich. 48180. Applicant's representative: Martin J. Leavitt, 22375 Haggerty Road, P.O. Box 400, Northville, Mich. 47167. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Composition board and plywood* between the facilities of the Masonite Corp., located at Maumee, Ohio, on the one hand, and, on the other, points in Pennsylvania, West Virginia, Kentucky, Indiana, Michigan, New York, Mississippi, Missouri, New Jersey, and Minnesota.

NOTE.—If a hearing is deemed necessary, applicant requests it be held at either Chicago, Ill., Toledo, Ohio, or Washington, D.C.

No. MC 55896 (Sub-No. 55), filed August 19, 1977. Applicant: R–W SERVICE SYSTEM, INC., 20225 Goddard Rd., Taylor, Mich. 48180. Applicant's representative: Martin J. Leavitt, 22375 Haggerty Rd., P.O. Box 400, Northville, Mich. 48167. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: (1) *Roofing and building materials*, and materials used in the installation and application of such commodities (except commodities in bulk) from Franklin, Ohio to points in Illinois, Indiana, Iowa, Michigan, Missouri, Pennsylvania and Wisconsin; (2) Materials, equipment and supplies used in the manufacture, installation or application of roofing or building materials (except commodities in bulk) from points in Illinois, Indiana, Iowa, Michigan, Missouri, Pennsylvania and Wisconsin to Franklin, Ohio.

NOTE.—If a hearing is deemed necessary, applicant requests that it be held at Chicago, Illinois; Columbus, Ohio; or Washington, D.C.

No. MC 59150 (Sub-No. 99) (Correction), filed May 13, 1977, published in the FEDERAL REGISTER issue of June 16, 1977, and republished as corrected this issue. Applicant: PLOOF TRUCK LINES, INC., 1414 Lindrose St., Jacksonville, Fla. 32206. Applicant's representative: Martin Sack, Jr., 1754 Gulf Life Tower, Jacksonville, Fla. 32207. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular route, transporting: *Plywood and composition board*, from the plantsite and warehouse facilities of Day Companies, Inc., in Randolph County, Ga., to points in the United States in and east of North Dakota, South Dakota, Nebraska, Colorado, and New Mexico.

NOTE.—The purpose of this correction is to add composition board to the commodity description. If a hearing is deemed necessary, applicant requests it be held at either Jacksonville, Fla., or Atlanta, Ga.

No. MC 59367 (Sub-No. 110), filed August 19, 1977. Applicant: DECKER TRUCK LINE, INC., P.O. Box 915, Fort Dodge, Iowa 50501. Applicant's representative: William L. Fairbank, 1980 Financial Center, Des Moines, Iowa 50309. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting. (1) Roofing and building materials, and materials used in the installation and application of such commodities (except commodities in bulk). From Franklin, Ohio to points in Colorado, Illinois, Indiana, Iowa, Kansas, Kentucky, Michigan, Minnesota, Missouri, Nebraska, North Dakota, South Dakota, and Wisconsin. (2) Materials, equipment and supplies used in the manufacture, installation or application of roofing or building materials (except commodities in bulk) from points in Colorado, Illinois, Indiana, Iowa, Kansas, Kentucky, Michigan, Minnesota, Missouri, Nebraska, North Dakota, South Dakota, and Wisconsin to Franklin, Ohio.

NOTE.—If a hearing is deemed necessary, applicant requests that the hearing be held at Chicago, Illinois.

No. MC 59640 (Sub-No. 56), filed August 18, 1977. Applicant: PAULS TRUCKING CORPORATION, Three Commerce Dr., Cranford, N.J. 07106. Applicant's representative: Charles J. Williams, 1815 Front St., Scotch Plains, N.J. 07076. Authority sought to operate as a *contract carrier*, by motor vehicle, over irregular routes, transporting: *Toys, sporting goods, hobby articles*, and commodities sold in retail and wholesale toy stores, between Beltsville, Md., and Secaucus, N.J., on the one hand, and, on the other, points in Connecticut, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, New York, Pennsylvania, and Rhode Island, under a continuing contract or contracts with Lash-Tamaron Distributors, division of Toys "R" Us., Inc., located at Saddlebrook, N.J.

NOTE.—If a hearing is deemed necessary, the applicant requests it be held at New York, N.Y.

No. MC 64808 (Sub-No. 28), filed August 25, 1977. Applicant: W. S. THOMAS TRANSFER, INC., 1854 Morgantown Ave., Fairmont, W. Va. 26554. Applicant's representative: Henry M. Wick, Jr., 2310 Grant Bldg., Pittsburgh, Pa. 15219. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes transporting: *flat glass*, from the plant site of PPG Industries, Inc., located at or near Wichita Falls, Tex., to points in Illinois, Indiana, Iowa, Kentucky, Maryland, Michigan, Missouri, Ohio, Pennsylvania, West Virginia, Wisconsin and the District of Columbia.

NOTE.—If a hearing is deemed necessary, the applicant requests that it be held at either Washington, D.C. or Pittsburgh, Pa.

No. MC 64808 (Sub-No. 30), filed August 26, 1977. Applicant: W. S. THOMAS TRANSFER, INC., 1854 Morgantown Ave., Fairmont, W. Va. 26554. Applicant's representative: Henry M. Wick, Jr., 2310 Grant Bldg., Pittsburgh, Pa. 15219. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Uncrated flat glass*, from the plantsites of PPG Industries, Inc. located at or near Cumberland Md. and Mt. Holly Springs (Cumberland County) Pa., to Connecticut, Delaware, Illinois, Indiana, Kentucky, Maine, Maryland, Massachusetts, Michigan, Missouri, New Hampshire, New Jersey, New York, Ohio, Pennsylvania, Rhode Island Vermont, Virginia, West Virginia and the District of Columbia.

NOTE.—If a hearing is deemed necessary, applicant requests that it be held in Washington, D.C. or Pittsburgh, Pa.

No. MC 66886 (Sub-No. 58), filed August 23, 1977. Applicant: BELGER CARTAGE SERVICE, INC., 2100 Walnut St., Kansas City, Mo. 64108. Applicant's representative: Frank W. Taylor, Jr., Suite 600, 1221 Baltimore Ave., Kansas City, Mo. 64105. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: (1) *Overhead crane and monorail systems*, and (2) *parts and accessories for commodities* in (1) above; (3) *iron or steel articles used in the manufacture or erection of commodities* described in (1) and (2) above, from the plantsites and/or storage facilities of Crane & MonoRail Systems a Division of Acco-Louden Company at or near Fairfield, Iowa, to points in Alabama, Arkansas, Colorado, Connecticut, Delaware, Florida, Georgia, Illinois Indiana, Kansas, Kentucky, Louisiana Maryland, Mississippi, Missouri, New Mexico, New Jersey, New York, North Carolina, Ohio, Oklahoma, Pennsylvania, South Carolina, Tennessee, Texas, Virginia, and West Virginia.

NOTE.—If a hearing is deemed necessary, applicant requests that it be held at Kansas City, Mo., or Des Moines, Iowa.

No. MC 67450 (Sub-No. 61), filed August 22, 1977. Applicant: PETERLIN CARTAGE CO., a corporation, 9651 Ewing Ave., Chicago, Ill. 60617. Applicant's representative: Mr. Joseph M. Scanlan, 111 West Washington Ave., Chicago, Ill. 60602. Authority sought to operate as a *common carrier*, by motor vehicle over irregular routes, transporting: Paper and paper products and woodpulp (except commodities in bulk) from Calhoun, Tennessee to points in Iowa, Kentucky (except Louisville), Kansas, Minnesota, Missouri, Nebraska, Ohio, Virginia, West Virginia, and Wisconsin. Restricted to traffic originating at the plantsite of the Bowater Southern Paper Corporation at Calhoun, Tennessee. And materials, equipment, and supplies used in the manufacture of the commodities described above (except in bulk) from the points in the destination states named above to the plantsite of Bowater Southern Paper Corporation at Calhoun, Tennessee.

NOTE.—Common control may be involved. If a hearing is deemed necessary, applicant requests that it be held at Chicago, Ill.

No. MC 70832 (Sub-No. 19), filed August 19, 1977. Applicant: NEW PENN MOTOR EXPRESS, INC., P.O. Box 630, Lebanon, Pa. 17402. Applicant's representative: S. Harrison Kahn, Suite 733, Investment Building, Washington, D.C. 20005. Authority sought to operate as a *common carrier*, by motor vehicle, over a regular route, transporting *General commodities* (except those of unusual value, Classes A and B explosives, household goods as defined by the Commission, commodities in bulk, and those requiring special equipment): (1) Between Greenfield, Massachusetts and New Haven, Connecticut. From Greenfield over Interstate Highway 91 to New Haven, Connecticut, and return over the same route, serving all intermediate points and serving all points in Massachusetts on and west of Massachusetts Highway 32 and Danbury and Rockville, Connecticut, as off-route points in connection with the regular route operation.

NOTE.—Applicant contends that it provides the proposed services under existing regular and irregular route authorities, and that the application seeks a regular route for these existing services. If a hearing is deemed necessary, applicant requests that it be held at Washington, D.C.

No. MC 73165 (Sub-No. 415), filed August 5, 1977. Applicant: EAGLE MOTOR LINES, INC., 830 North 33rd Street, Birmingham, Ala. 35202. Applicant's representative: John W. Cooper, Suite 200, Woodward Building, 1927 1st Avenue North, Birmingham, Ala. 35203. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Sheet steel and knocked down industrial steel buildings and component parts thereof*, from Van Wert and Youngstown, Ohio, to points in Kentucky, Tennessee, Alabama, Georgia, Florida, Louisiana, Ohio, Arkansas, Mississippi, Texas, Oklahoma, North Carolina, South Carolina, Virginia, Illinois, and Missouri.

NOTE.—If a hearing is deemed necessary, applicant requests it be held at either Birmingham, Ala., or Atlanta, Ga.

No. MC 76032 (Sub-No. 329), filed August 23, 1977. Applicant: Navajo Freight Lines, Inc., 1205 South Platte River Dr., Denver, Colo. 80223. Applicant's representative: Eldon E. Breese (same address as applicant). Authority sought to operate as a *common carrier*, by motor vehicle, over regular routes, transporting: *General Commodities* (Except those of unusual value, Classes A and B Explosives, Household goods as defined by the Commission, commodities in bulk, and those requiring special equipment), between Memphis, Tennessee and Albuquerque, New Mexico: From Memphis, Tennessee over Interstate Highway 40 to Albuquerque, New Mexico and return over the same route, serving no intermediate points.

NOTE.—Common control may be involved. If a hearing is deemed necessary, the applicant requests that it be held at either Albuquerque, New Mexico or Memphis, Tenn.

No. MC 77424 (Sub-No. 42), filed August 23, 1977. Applicant: WENHAM TRANSPORTATION, INC., 3200 East 79th Street, Celevland, Ohio 44104. Applicant's representative: J. G. Bamer (same address as applicant). Authority sought to operate as a *common carrier* by motor vehicle, over irregular routes, transporting: Part 1. *Roofing and building materials, and materials used in the installation and application of such commodities* (except commodities in bulk). From Franklin, Ohio to points in Alabama, Connecticut, Delaware, Georgia, Illinois, Indiana, Iowa, Kentucky, Maryland, Massachusetts, Michigan, Minnesota, Mississippi, Missouri, New Jersey, New York, North Carolina, Ohio, Pennsylvania, Rhode Island, South Carolina, Tennessee, Virginia, West Virginia, Wisconsin and District of Columbia. Part 2. *Materials, equipment and supplies used in the manufacture, installation or application of roofing or building materials* (except commodities in bulk). From points in Alabama, Connecticut, Delaware, Georgia, Illinois, Indiana, Iowa, Kentucky, Maryland, Massachusetts, Michigan, Minnesota, Mississippi, Missouri, New Jersey, New York, North Carolina, Ohio, Pennsylvania, Rhode Island, South Carolina,

Tennessee, Virginia, West Virginia, Wisconsin and the District of Columbia to Franklin, Ohio.

NOTE.—If a hearing is deemed necessary, applicant requests that it be held at Washington, D.C. or Chicago, Ill.

No. MC 78687 (Sub-No. 49) (Correction) filed July 28, 1977, published in the FEDERAL REGISTER issue of September 8, 1977, and republished as corrected this issue. Applicant: LOTT MOTOR LINES, INC., P.O. Box 751, West Cayuga St., Moravia, N.Y. 13118. Applicant's representative: E. Stephen Heisley, 805 McLachen Bank Bldg., 666 Eleventh Street, NW., Washington, D.C. 20001. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Salt and salt products*, from Horseheads, N.Y., to points in Connecticut, Delaware, Indiana, Maine, Maryland, Massachusetts, the Lower Peninsula of Michigan, New Hampshire, New Jersey, New York, Ohio, Pennsylvania, Rhode Island, Vermont, Virginia, West Virginia, and the District of Columbia.

NOTE.—The purpose of this republication is to include applicant's representative and address which was inadvertently omitted. Applicant holds contract carrier authority in No. MC 2505, therefore, dual operations may be involved. Common control may also be involved. If a hearing is deemed necessary, applicant requests that it be held at either New York, N.Y., or Washington, D.C.

No. MC 87566 (Sub-No. 8), filed August 17, 1977. Applicant: SCHMIDT TRUCK SERVICE, INC., No. 1 Clyde Ave., Litchfield Industrial Park, Litchfield, Ill. 62054. Applicant's representative: Allan C. Zuckerman, 39 South LaSalle St., room 600, Chicago, Ill. 60603. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: (1) *zinc oxide* from Hillsboro, Ill., to Murray, Ky., and Des Moines, Iowa; and (2) *tote bins*, from Murray, Ky., to Hillsboro, Ill.

NOTE.—If a hearing is deemed necessary, applicant requests that it be held at Chicago, Illinois. Common control may be involved.

No. MC 94350 (Sub-No. 403), filed August 19, 1977. Applicant: TRANSIT HOMES, INC., P.O. Box 1628, Greenville, S.C. 29602. Applicant's representative: Mitchell King, Jr., (same address as applicant). Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Buildings*, in sections, mounted on wheeled undercarriages, from points in Holmes County, Miss., to points in the United States (excluding Alaska and Hawaii).

NOTE.—Common control may be involved. If hearing is deemed necessary, applicant requests that it be held at Lexington, Miss.

No. MC 100666 (Sub-No. 361), filed August 26, 1977. Applicant: MELTON TRUCK LINES, INC., P.O. Box 7666, Shreveport, La. 71107. Applicant's representative: Wilburn L. Williamson, 280 National Foundation Life Bldg., 3535 N.W. 58th Street, Oklahoma City, Okla. 73112. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Roofing and roofing materials* (except commodities in bulk, in tank vehicles), from Stroud, Oklahoma to points in Colorado and Wyoming.

NOTE.—If a hearing is deemed necessary, applicant requests that it be held at Oklahome City, Okla. or Dallas, Tex.

No. MC 104896 (Sub-No. 49) (Correction), filed June 21, 1977, published in the FEDERAL REGISTER issue of August 11, 1977, and republished as corrected this issue. Applicant: WOMELDORF, INC., P.O. Box G, Knox, Pa. 16232. Applicant's representative: James W. Patterson, 1200 Western Savings Bank Bldg., Philadelphia, Pa. 19107. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: (1) *Foodstuffs* (except in bulk), from the facilities of Gioia Macaroni Co., Inc., at Buffalo, N.Y., to points in Delaware, Maryland, New Jersey, Ohio, Pennsylvania and West Virginia; and (2) *equipment, materials and supplies*, used in the production and distribution of foodstuffs (except in bulk), from points in the above-named destination territory, to the facilities of Gioia Macaroni Co., Inc., at Buffalo, N.Y.

NOTE.—The purpose of this correction is to indicate "Gioia Macaroni Co., Inc.", as the correct supporting shipper, in lieu of Gioia Specialty Foods, Inc. If a hearing is deemed necessary, applicant requests it be held at Philadelphia, Pa., or Washington, D.C.

No. MC 105006 (Sub-No. 5) (correction), filed July 18, 1977, published in the FEDERAL REGISTER issue of September 1, 1977, and republished as corrected this issue. Applicant: L. L. SMITH TRUCKING, a corporation, P.O. Box 566, Powell, Wyo. 82435. Applicant's representative: John P. Thompson, 450 Capitol Life Center, Denver, Colo. 80203. Authority sought to operate as *common carrier*, by motor vehicle, over irregular routes transporting: (1) *Chemicals*, in containers, *drilling muds and drilling additives*, (a) between points in Nevada, New Mexico, and Utah, and between points in Nevada, New Mexico, and Utah, on the one hand, and, on the other, points in Arizona, Colorado, Idaho, Montana, North Dakota, South Dakota, and Wyoming; and (b) between points in Wyoming, on the one hand, and, on the other, points in Arizona and Idaho; and (2) *bentonite*, from points in Wyoming, to points in Idaho, Nevada, New Mexico, and Utah.

NOTE.—The purpose of this republication is to indicate the correct territorial description in (a) above. If a hearing is deemed necessary, the applicant requests that it be held at Denver, Colo.

No. MC 106074 (Sub-No. 39), filed August 17, 1977. Applicant: B AND P MOTOR LINES, INC., 710 Oakland Road, P.O. Box 727, Forest City, N.C. 28043. Applicant's representative: George W. Clapp, 109 Hartsville Street, P.O. Box 836, Taylors, S.C. 29687. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Paper bags, plastic bags, and bags made of paper and plastic combined*, from Jacksonville, Ark., to points in Georgia, Illinois, North Carolina, and South Carolina.

NOTE.—If a hearing is deemed necessary, the applicant requests it be held at Little Rock, Ark., or Charlotte, N.C. Applicant holds contract carrier authority in MC 140842 (Sub-No. 1), therefore dual operations may be involved. Common control may also be involved.

No. MC 106603 (Sub-No. 155), filed August 11, 1977. Applicant: DIRECT TRANSIT LINES, INC., 200 Colrain Street SW., P.O. Box 8099, Grand Rapids, Mich. 49508. Applicant's representative: Martin J. Leavitt, 22375 Haggerty Road, P.O. Box 400, Northville, Mich. 48167. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: (1) *Copper, brass, and bronze products, equipment, materials and supplies*, used in, or incidental to, the manufacture of these products, *and office supplies and equipment*, (a) between the facilities of the Mueller Brass Co. at Port Huron, Mich., on the one hand, and, on the other, points in Ohio; (b) between the facilities of the Mueller Brass Co. at Port Huron, Mich., on the one hand and, on the other, points in Indiana, and the Chicago, Ill., commercial zone; (2) *brass, bronze, copper, and aluminum articles, and scrap, equipment, materials, and supplies*, used in, or incidental to the manufacture of such products, between St. Louis, Mo., and the facilities of the Mueller Brass Co. at Port Huron, Mich.; (3) *plastic articles, and materials*, other than bulk liquids, used in the manufacture of plastic articles, between the facilities of the Mueller Brass Co. at Port Huron, Mich., on the one hand, and, on the other, Chicago, Ill., St. Louis, Mo., and points in Indiana and Ohio; (4) *office supplies and equipment*, between the facilities of the Mueller Brass Co. at Port Huron, Mich., on the one hand, and, on the other, Chicago, Ill., and points in Indiana and Ohio;

(5) *Metal and plastic articles, and equipment, materials, and supplies* used in the manufacture of metal and plastic articles (except liquid in bulk used in the manufacture of plastic articles), between the facilities of the Mueller Brass Co. at Port Huron, Mich., on the one hand, and, on the other, Chicago, Ill., St. Louis, Mo., and points in Indiana and Ohio; (6) *non-ferrous metals*, from points in Illinois (except Chicago), Missouri (except St. Louis), New Jersey, New York, Pennsylvania, Wisconsin, Alabama, Arkansas, Connecticut, Delaware, Florida, Georgia, Iowa, Kentucky, Louisiana, Massachusetts, Minnesota, Mississippi, Tennessee, and West Virginia, to the facilities of the Mueller Brass Co. at Port Huron, Mich.; (7) *copper, brass, bronze, and aluminum articles*, from the facilities of the Mueller Brass Co. at Port Huron, Mich., to points in Illinois, Wisconsin, Missouri, Kentucky, Pennsylvania, Iowa, New

York, New Jersey, and West Virginia; (8) *brass, bronze, copper, aluminum, and plastic articles,* from the facilities of the Mueller Brass Co. at Port Huron, Mich., to points in Alabama, Arkansas, Connecticut, Delaware, Florida, Georgia, Louisiana, Massachusetts, Minnesota, Mississippi, and Tennessee; (9) *brass, bronze, copper, and aluminum products, and equipment, materials, and supplies* used in the manufacture of such products (except commodities in bulk), between Fulton, Miss., on the one hand, and on the other, points in the United States (except Alaska and Hawaii); and (10) *copper, brass, bronze, and aluminum articles,* from Hartsville, Tenn., to points in Ohio, Indiana, Illinois, Wisconsin, Pennsylvania, Kentucky, West Virginia, Missouri, Iowa, New York, New Jersey, Alabama, Arkansas, Connecticut, Delaware, Florida, Georgia, Louisiana, Massachusetts, Minnesota, and Mississippi.

NOTE.—Applicant presently holds authority as set forth above as a contract carrier in MC 46240 and subs thereunder and seeks in this application to convert its present contract carrier permit to a certificate of public convenience and necessity in order to eliminate any future questions as to dual operations. If a hearing is deemed necessary, applicant requests that it be held at either Chicago, Ill., Washington, D.C., or Detroit, Mich. Common control may be involved.

MC 106674 (Sub-No. 251), filed August 19, 1977. Applicant: SCHILLI MOTOR LINES, INC., P.O. Box 123, Remington, Ind. 47977. Applicant's representative: Linda J. Sundy, (same address as applicant). Authority sought to operate as a common carrier, by motor vehicle, over irregular routes, transporting: (1) *Roofing materials and roofing felt* from the plantsite of CertainTeed Corp. at or near Avery, Ohio, to the plantsite of CertainTeed Corp. at Chicago Heights, Ill., and (2) *roofing, building and insulating materials* (except iron and steel articles and commodities in bulk) and *dry felt* from the plantsite and warehouse facilities of CertainTeed Corp. in Scott County, Minn., to the plantsite and warehouse facilities of CertainTeed Corp. located in Chicago Heights, Ill., and at or near Avery, Ohio.

NOTE.—If a hearing is deemed necessary, applicant requests it be held in either Chicago, Ill. or Indianapolis, Ind.

MC 106674 (Sub-No. 252), filed August 19,: 1977. Applicant: SCHILLI MOTOR LINES, INC., P.O. Box 123, Remington, Ind. 47977. Applicant's representative: Linda J. Sundy, P.O. Box 123, Remington, Ind. 47977. Authority sought to operate as a *common carrier,* by motor vehicle, over irregular routes, transporting: *Roofing, building and insulating materials* (except iron and steel articles and commodities in bulk), from the plantsite and warehouse facilities of CertainTeed Corp. in Erie County, Ohio, to points in Indiana, Kentucky, Michigan, New York, Pennsylvania, and West Virginia.

NOTE.—If a hearing is deemed necessary, applicant requests it be held in either Chicago Ill., or Indianapolis, Ind.

No. MC 106956 (Sub-No. 5), filed August 19, 1977. Applicant: SYLVESTER TRUCKING CO., a corporation, 2930 Gradwohl Road, Toledo, Ohio 43617. Applicant's representative: Wilhelmina Boersma, 1600 First Federal Building, Detroit, Mich. 48226. Authority sought to operate as a *common carrier,* by motor vehicle, over irregular routes, transporting: *Scrap iron and metal,* in bulk, between Toledo, Ohio, and points in Michigan and Indiana, in non-radial movement.

NOTE.—If a hearing is deemed necessary, applicant requests that it be held at Columbus, Ohio, or Washington, D.C.

No. MC 107012 (Sub-No. 247), filed August 18, 1977. Applicant: NORTH AMERICAN VAN LINES, INC., Lincoln Highway East and Meyer Road, P.O. Box 988, Fort Wayne, Ind. 46801. Applicant's representative: Michael L. Harvey (same address as applicant). Authority sought to operate as a *common carrier,* by motor vehicle, over irregular routes, transporting: *Ice machines, and accessories* thereto, between Dania, Fla., on the one hand, and, on the other, points in the United States (except points in Illinois, Indiana, Michigan, Missouri, Ohio, Wisconsin, Nebraska and Greene and Craighead Counties, Ark., and Alaska and Hawaii).

NOTE.—Common control may be involved. If a hearing is deemed necessary, applicant requests that it be held at either Miami, Fla., or Washington, D.C.

Docket No. MC 107012 (Sub-No. 249), filed August 22, 1977. Applicant: NORTH AMERICAN VAN LINES, INC., Lincoln Highway East and Meyer Road, P.O. Box 988, Fort Wayne, Ind. 46801. Applicant's representative: Gerald A. Burns, P.O. Box 988, Fort Wayne, Ind. 46801. Authority sought to operate as a *common carrier,* by motor vehicle, over irregular routes, transporting: *Electric heaters, electric humidifiers* and *electric fireplaces* from the plantsite and/or storage facilities of Arvin Industries, Inc., located at or near Verona, Miss., to points in Virginia, North Carolina, South Carolina, Florida, Georgia, Tennessee, Kentucky, Alabama, Louisiana, Arkansas, Iowa, Minnesota, North Dakota, South Dakota, Kansas, Oklahoma, Texas, New Mexico, Colorado, Wyoming, Montana, Idaho, Utah, Arizona, Nevada, California, Oregon and Washington.

NOTE.—Common control may be involved. If a hearing is deemed necessary, applicant requests that it be held at either Jackson, Miss., Memphis, Tenn., or Washington, D.C.

No. MC 107403, (Sub.-No. 1031), filed August 19, 1977. Applicant: MATLACK, INC., Ten West Baltimore Avenue, Lansdowne, Pa. 19050. Applicant's representative: Martin C. Hynes, Jr. (same address as applicant). Authority sought to operate as a *common carrier,* over irregular routes, transporting: *Resin adhesives,* non-flammable, in bulk, in tank vehicles, from the plantsite of S & R Adhesive Co., Inc., located at Covington, La., to Cincinnati, Ohio.

NOTE.—Common control may be involved. If a hearing is deemed necessary, the applicant requests it be held in Washington, D.C.

No. MC 107403 (Sub-No. 1032), filed August 18, 1977. Applicant: MATLACK, INC., Ten West Baltimore Avenue, Lansdowne, Pa. 19050. Applicant's representative: Martin C. Hynes, Jr. (same address as applicant). Authority sought to operate as a *common carrier,* over irregular routes, transporting: *Isocyanates, diisocyanates, polypropylene, glycol, and hydrazine solutions,* in bulk, in tank vehicles, from the plantsite of Mobay Chemical Corp. at or near Baytown, Tex. (Chambers County), to points in the United States in and east of Minnesota, Iowa, Missouri, Arkansas, and Texas.

NOTE.—Common control may be involved. If a hearing is deemed necessary, the applicant requests it be held in Washington, D.C.

No. MC 107515 (Sub-No. 1100), filed August 22, 1977. Applicant: REFRIGERATED TRANSPORT CO., INC., Post Office Box 308, Forest Park, Ga. 30050. Applicant's representative: Alan E. Serby, 3379 Peachtree Road NE., Suite 375, Atlanta, Ga. 30326. Authority sought to operate as a *common carrier,* by motor vehicle, over irregular routes, in the transportation of: *Meats, meat products, and meat by-products,* from the plantsite and storage facilities of Royal Packing Co. located at or near St. Louis, Mo., to Memphis, Tenn., and Chicago, Ill.

NOTE.—Applicant holds motor contract carrier authority in No. MC 126436 (Sub.-No. 2) and other subs, therefore dual operations may be involved. Common control may be involved. If a hearing is deemed necessary, applicant requests that it be held at St. Louis, Mo.

No. MC 108119 (Sub-No. 65), filed August 15, 1977. Applicant: E. L. MURPHY TRUCKING CO., P.O. Box 3010, St. Paul, Minn. 55165. Applicant's representative: Andrew R. Clark, 1000 First National Bank Building, Minneapolis, Minn. 55402. Authority sought to operate as a *common carrier,* by motor vehicle, over irregular routes, transporting: *Fireplaces, grills, and parts and accessories for fireplaces and grills,* from Santa Fe Springs, Calif., to points in the United States (except Alaska and Hawaii).

NOTE.—If a hearing is deemed necessary, applicant requests it be held at Los Angeles or San Francisco, Calif.

No. MC 108119 (Sub-No. 66), filed August 23, 1977. Applicant: E. L. MURPHY TRUCKING CO., a corporation, Post Office Box 43010, St. Paul, Minn. 55164. Applicant's representative: Andrew R. Clark, 1000 First National Bank Building, Minneapolis, Minn. 55402. Authority sought to operate as a *common carrier,* by motor vehicle, over irregular routes, transporting: *Pipe, boiler tubing, and fabricated steel pipe, boilers and boiler parts (valves), coal crusher-feeders and burners, fabricated steel weldments, steel castings, and steel plate,* from the plantsites of Riley Stoker Corp., Erie, Pa., and Sapulpa, Okla., to points in the United States (except Alaska and Hawaii).

NOTE.—Common control may be involved. If a hearing is deemed necessary, applicant requests it be held at Cleveland, Ohio, or Washington, D.C.

No. MC 108676 (Sub-No. 110), filed August 25, 1977. Applicant: A. J. METLER HAULING & RIGGING, INC., 117 Chicamauga Avenue, Knoxville, Tenn. 37917. Applicant's representative: Louis J. Amato, P.O. Box E, Bowling Green, Ky. 42101. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Dust collectors, cyclones, iron and steel articles, machinery, equipment, materials, parts and accessories* used in air handling systems, from points in Greene County, Tenn., to points in the United States, including Alaska, but excluding Hawaii.

NOTE.—If a hearing is deemed necessary, applicant requests that it be held at either Knoxville or Nashville, Tenn.

No. MC 110525 (Sub-No. 1196) (correction), filed June 20, 1977, published in the FEDERAL REGISTER issue of August 11, 1977, and republished as corrected this issue. Applicant: CHEMICAL LEAMAN TANK LINES, INC., P.O. Box 200, 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: *Plastic pellets, resins, and granules*, in bulk, in tank vehicles, from the plantsite of Borg-Warner Chemicals located at Washington, W. Va., to points in Alabama, Connecticut, Delaware, Illinois, Indiana, Kentucky, Louisiana, Maryland, Massachusetts, Michigan, Missouri, Minnesota, New Jersey, New York, North Carolina, Ohio, Pennsylvania, South Carolina, Tennessee, Virginia, West Virginia, and Wisconsin.

NOTE.—The purpose of this republication is to indicate the correct origin. If a hearing is deemed necessary, the applicant requests that it be held at Washington, D.C.

No. MC 110563 (Sub-No. 205), filed August 17, 1977. Applicant: COLDWAY FOOD EXPRESS, INC., P.O. Box 747, State Route 29 North, Sidney, Ohio 45365. Applicant's representative: Mr. Joseph M. Scanlan, 111 West Washington Street, Chicago, Ill. 60602. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Foodstuffs*, from the plantsites and warehouse facilities utilized by Anderson Clayton Co., located at or near Jacksonville, Ill., to points in Connecticut, Delaware, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, New York, Pennsylvania, Rhode Island, Vermont, Virginia, West Virginia, and the District of Columbia.

NOTE.—If a hearing is deemed necessary, the applicant requests it be held at St. Louis, Mo., or Chicago, Ill.

No. MC 111729 (Sub-No. 716), filed August 19, 1977. Applicant: PUROLATOR COURIER CORP., 3333 New Hyde Park Road, New Hyde Park, N.Y. 11040. Applicant's representative: Elizabeth L. Henoch (same address as applicant). Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Cut flowers, decorative greens, and green plants*, when moving at the same time and in the same vehicle with commodities the transportation of which is subject to economic regulation, (1) From Denver, Colo., to points in Colorado, on traffic having an immediately prior movement by air, rail or motor vehicles; (2) from Seattle, Wash., to points in Washington, on traffic having an immediately prior movement by air, rail or motor vehicle; and (3) from Portland, Oreg., to points in Oregon, on traffic having an immediately prior movement by air, rail or motor vehicle, restricted against the transportation of packages or articles weighing in excess of 150 pounds.

NOTE.—Applicant Contract carrier authority in MC 112750 and subs thereunder, therefore dual operations may be involved. Common control may also be involved. If a hearing is deemed necessary, applicant requests that it be held at Washington, D.C.

No. MC 111785 (Sub-No. 60), filed August 24, 1977. Applicant: BURNS MOTOR FREIGHT, INC., P.O. Box 149, U.S. Highway 219 North, Marlinton, W. Va. 24954. Applicant's representative: Theodore Polydoroff, Suite 600, 1250 Connecticut Avenue NW., Washington, D.C. 20036. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: (1) *gypsum* and *gypsum products*, and materials and supplies used in the installation and distribution thereof; and (2) *plasterboard joint system* and materials and supplies used in the installation and distribution thereof, from the facilities of Georgia Pacific Corporation, located at or near Wilmington, Del. and Milford (Caroline County), Va., to points in West Virginia.

NOTE.—If a hearing is deemed necessary, applicant requests that it be held at Washington, D.C.

No. MC 112070 (Sub-No. 15), filed August 18, 1977. Applicant: GRAY MOVING & STORAGE, INC., 1290 South Pearl Street, Denver, Colo. 80210. Applicant's representative: Robert J. Gallagher, 1000 Connecticut Ave. NW., Suite 1200, Washington, D.C. 20423. Authority sought to engage in operation, in interstate or foreign commerce, as a *common carrier* by motor vehicle, over irregular routes, in the transportation of (1) (a) New furniture, uncrated, new furnishings, uncrated, and new appliances, uncrated, and accessories and parts, incidental to the commodities described herein which are shipped in the same vehicle and at the same time with such commodities; (b) new store and office fixtures, uncrated, and accessories and parts, incidential thereto which are shipped in the same vehicle and at the same time with the commodities described herein; and (c) new kitchen and institutional fixtures and equipment, uncrated, and accessories and parts, incidental thereto which are shipped in the same vehicle at the same time with the commodities described herein; and (2) (a) between points in California; and (b) between points in California, on the one hand, and, on the other, points in Colorado, Iowa, Kansas, Louisiana, Mississippi, Missouri, Nebraska, Oklahoma, South Dakota, Wyoming, Wisconsin, Illinois, Minnesota, Michigan, Arkansas, Texas, Indiana, Kentucky, Ohio, Tennessee, Pennsylvania, New York, New Jersey, Connecticut, Massachusetts, Virginia, West Virginia, Maryland, Delaware, District of Columbia, New Mexico, Utah, California, Montana, Nevada, and points in that part of Idaho east of the western boundary of Lemhi County, Idaho and south of the southern boundary of Idaho County, Idaho, Georgia, Florida, Alabama, North Carolina, South Carolina, Rhode Island, Maine, New Hampshire, and Vermont.

NOTE.—If a hearing is deemed necessary, applicant requests that it be held in consolidation with Global Van Lines, Inc.

No. MC 112184 (Sub-No. 56), filed August 26, 1977. Applicant: THE MANFREDI MOTOR TRANSIT CO. (A Corporation), 11250 Kinsman Road, Newbury, Ohio 44065. Applicant's representative: John P. McMahon, 100 East Broad Street, Columbus, Ohio 43215. Authority sought to operate as a *contract carrier*, by motor vehicle, over irregular routes, transporting *paint and paint products*, in bulk, in tank vehicles, from (1) Wallingford, Conn. to Dearborn, Detroit, Flint, Lansing, Pontiac, Romulus, Warren, Wayne, Willow Run, and Wixom, Mich.; Cleveland, Lorain, Lordstown, and Norwood, Ohio; Belvidere and Chicago, Ill.; Leeds, Kansas City and St. Louis, Mo.; Kansas City, Kans.; Linden, Mahwah, Metuchen, and Newark, N.J.; Tarrytown, N.Y.; Indianapolis, Ind.; Framingham, Mass.; Janesville, Wis.; Wilmington, Del.; Oklahoma City, Okla.; Baltimore, Md.; Atlanta, Doraville, and Lakewood, Ga.; Arlington, Tex.; Norfolk, Va.; Minneapolis and St. Paul, Minn.; Louisville, Ky. and Fremont, San Jose, Southgate, and Van Nuys, Calif.; and (2) from Circleville, Ohio to Dearborn, Detroit, Flint, Lansing, Pontiac, Romulus, Warren, Wayne, Willow Run, and Wixom, Mich.; Belvidere and Chicago, Ill.; Leeds, Kansas City, and St. Louis, Mo.; Kansas City, Kans.; Linden, Mahwah, Metuchen, and Newark, N.J.; Tarrytown, N.Y.; Indianapolis, Ind.; Framingham, Mass.; Janesville, Wis.; Wilmington, Del.; Oklahoma City, Okla.; Baltimore, Md.; Atlanta, Doraville, and Lakewood, Ga.; Arlington, Tex.; Norfolk, Va.; Minneapolis and St. Paul, Minn.; Louisville, Ky.; Fremont, San Jose, Southgate, and Van Nuys, Calif.; and (3) from Wallingford, Conn. and Circleville, Ohio to points of entry on the United States-Canada boundary line which lie between Detroit and Port Huron, Mich., including Detroit and Port Huron; and points of entry on the United States-Canada boundary line which lie between Buffalo, N.Y. and Calais, Maine, including Buffalo, N.Y. and Calais, Maine, under a continuing contract or contracts with PPG Industries, Inc. of Pittsburgh, Pa.

NOTE.—Applicant holds motor common carrier authority in No. MC 128302 and subs thereunder, and therefore dual operations may be involved. If a hearing is deemed necessary, applicant requests that it be held at Columbus, Ohio.

No. MC 112304 (Sub-No. 122), filed August 15, 1977. Applicant: ACE DORAN HAULING & RIGGING CO. (a corporation), 1601 Blue Rock Street, Cincinnati, Ohio 45223. Applicant's representative: John D. Herbert (same address as applicant). Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Conduit pipe, cement containing asbestos fibre*, and *fittings* therefor, from the plantsite of Cement Asbestos Products Co. (subsidiary of ASARCO Inc.), at or near Ragland, Ala., to points in Connecticut, Delaware, Florida, Georgia, Illinois, Indiana, Kentucky, Louisiana, Maine, Maryland, Massachusetts, Michigan, Mississippi, New Hampshire, New Jersey, New York, North Carolina, Ohio, Pennsylvania, Rhode Island, South Carolina, Tennessee, Texas, Vermont, Virginia, West Virginia, and the District of Columbia.

NOTE.—Common control may be involved. If a hearing is deemed necessary, applicant requests that it be held at St. Louis, Mo.

No. MC 112617 (Sub-No. 372), filed August 22, 1977. LIQUID TRANSPORTERS, INC., 1292 Fern Valley Road, P.O. Box 21395, Louisville, Ky. 40221. Applicant's representative: Leonard A. Jaskiewicz, 1730 M Street NW., Suite 501, Washington, D.C. 20036. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Fly ash*, in bulk, from points in Pike County, Ind., to points in Illinois, Kentucky, Arkansas, and Tennessee.

NOTE.—Common control may be involved. If a hearing is deemed necessary, applicant requests it be held at either Louisville, Ky., or Washington, D.C.

No. MC 112822 (Sub-No. 425), filed August 23, 1977. BRAY LINES INCORPORATED, 1401 N. Little Street, P.O. Box 1191, Cushing, Okla. 74023. Applicant's representative: Charles D. Midkiff (same address as applicant). Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Frozen foods* (except in bulk), from Cameron, Hidalgo and Willacy Counties, Texas, to points in Alabama, Arkansas, Georgia, Illinois, Indiana, Kansas, Kentucky, Louisiana, Michigan, Minnesota, Mississippi, Missouri, North Carolina, Ohio, Oklahoma, South Carolina, Tennessee, and Wisconsin.

NOTE.—Common control may be involved. If a hearing is deemed necessary, applicant requests that it be held at either Houston or Dallas, Tex.

No. MC 113855 (Sub-No. 386), filed August 25, 1977. Applicant: INTERNATIONAL TRANSPORT, INC., 2450 Marion Road SE., Rochester, Minn. 55901. Applicant's representative: Richard P. Anderson, 502 First National Bank Bldg., Fargo, N. Dak. 58102. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, in interstate or foreign commerce, transporting: *Mechanical work platforms* and *parts* and *attachments* of mechanical work platforms, between the plantsite and storage facilities of Mark Industries, Inc., located at Long Beach, Calif., on the one hand, and, on the other, points in the United States (including Alaska but excluding Hawaii).

NOTE.—Common control may be involved. If a hearing is deemed necessary, the applicant requests that it be held at either San Francisco or Los Angeles, Calif.

No. MC 114211 (Sub-No. 316), filed August 24, 1977. Applicant: WARREN TRANSPORT, INC., P.O. Box 420, Waterloo, Iowa 50704. Applicant's representative: Daniel Sullivan, Suite 1600, 10 South La Salle, Chicago, Ill. 60603. Authority sought to operate as a *common carrier* over irregular routes, by motor vehicle, transporting: *Air pollution, heating and cooling equipment*, and parts and accessories for the above commodities, from the plantsite and facilities of Allied Industries, located at or near Houston, Tex. to points in the United States in and west of North Dakota, South Dakota, Nebraska, Kansas, Oklahoma, and Texas (except Alaska and Hawaii).

NOTE.—If a hearing is deemed necessary we request it be held at the same time and place as similar applications or either at Houston, Tex. or Dallas, Tex.

No. MC 114457 (Sub-No. 322) (correction), filed July 26, 1977, published in the FEDERAL REGISTER issue of September 1, 1977, and republished as corrected this issue. Applicant: DART TRANSIT COMPANY, a corporation, 2102 University Avenue, St. Paul, Minn. 55114. Applicant's representative: James C. Hardman, 33 North La Salle Street, Chicago, Ill. 60602. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: Steel doors, steel door frames, and brass, bronze, copper and steel hardware, from the plantsite of the Ceco Corp. located at or near Milan, Tenn., to points in Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, and Vermont.

NOTE.—The purpose of this republication is to indicate the correct location of the Ceco Corporation. If a hearing is deemed necessary, the applicant requests that it be held at either St. Paul, Minn., or Chicago, Ill.

No. MC 114552 (Sub-No. 137), filed August 15, 1977. Applicant: SENN TRUCKING COMPANY, a corporation, Post Office Drawer 220, Newberry, S.C. 29108. Applicant's representative: William P. Jackson, Jr., 3426 North Washington Boulevard, Post Office Box 1267, Arlington, Va. 22210. Authority is sought to operate as a *common carrier* by motor vehicle, over irregular routes, transporting: (1) *Pipe, fittings, valves, gaskets, hydrants, castings*, and *accessories* (except in bulk), from the facilities of Central Foundry Co., at or near Holt, Ala., to points in the United States in and east of North Dakota, South Dakota, Nebraska, Kansas, Oklahoma, and Texas; and (2) *Materials, supplies and equipment* (except in bulk) used in the operation of a foundry, from points in the United States in and east of North Dakota, South Dakota, Nebraska, Kansas, Oklahoma, and Texas, to the facilities of Central Foundry Co., at or near Holt, Ala.

NOTE.—If an oral hearing is deemed necessary, applicant requests that it be held in Birmingham, Ala.

No. MC 114552 (Sub-No. 139), filed August 19, 1977. Applicant: SENN TRUCKING COMPANY, a corporation, P.O. Drawer 220, Newberry, S.C. 29108. Applicant's representative: William P. Jackson, Jr., 3426 North Washington Boulevard, P.O. Box 1267, Arlington, Va. 22210. Authority sought to operate as a *common carrier* by motor vehicle, over irregular routes, transporting: *Wood fibre insulation sheathing, hardboard siding, wallboard, particleboard, plywood, composition board, gypsum wallboard and lumber*, between the facilities utilized by Temple Industries, located at Diboll and Pineland, Tex., and West Memphis, Ark., on the one hand, and, on the other, points in the United States in and east of North Dakota, South Dakota, Nebraska, Kansas, Oklahoma, and Texas.

NOTE.—If a hearing is deemed necessary, applicant requests it be held at Washington, D.C., or Houston, Tex.

No. MC 114725 (Sub-No. 80), filed August 23, 1977. Applicant: WYNNE TRANSPORT SERVICE, INC., 2222 North 11th Street, Omaha, Nebr. 68110. Applicant's representative: Donald L. Stern, Suite 530 Univac Building, 7100 West Center Road, Omaha, Nebr. 68106. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Liquid fertilizer*, in bulk, in tank vehicles, from LaPlatte, Nebr., to points in Arizona, Idaho, and New Mexico.

NOTE.—Common control may be involved. If a hearing is deemed necessary, applicant requests that it be held at Omaha, Nebr.

No. MC 115215 (Sub-No. 27), filed August 15, 1977. Applicant: NEW TRUCK LINES, INC., P.O. Box 639, Perry, Fla. 32347. Applicant's representative: Sol H. Proctor, 1101 Blackstone Building, Jacksonville, Fla. 32202. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *lumber, poles, posts and timbers* from points in Florida and Georgia to points in Illinois, Kentucky, North Carolina, South Carolina, Tennessee, and Virginia.

NOTE.—Common control may be involved. If a hearing is deemed necessary, applicant requests it be held at Jacksonville, Fla., or Atlanta, Ga.

No. MC 115730 (Sub-No. 35), filed August 15, 1977. Applicant: THE MICKOW CORP., P.O. Box 1774, 531 S.W. Sixth Street, Des Moines, Iowa 50306. Applicant's representative: Cecil L. Goettsch,

1100 Des Moines Building, Des Moines, Iowa 50309. Authority sought to operate as a *Common Carrier* over Irregular routes in the transportation of: (1) *Roofing and building materials*, and materials used in the installation and application of such commodities (except commodities in bulk) from Franklin, Ohio to points in Arkansas, Illinois, Indiana, Iowa, Kansas, Michigan, Minnesota, Missouri, Nebraska, Oklahoma, South Dakota, Texas and Wisconsin. (2) *Materials, equipment and supplies* used in the manufacture, installation or application of roofing or building materials (except commodities in bulk) from points in Arkansas, Illinois, Indiana, Iowa, Kansas, Michigan, Minnesota, Missouri, Nebraska, Oklahoma, South Dakota, Texas and Wisconsin to Franklin, Ohio.

NOTE.—If a hearing is deemed necessary, the applicant requests it be held at Washington, D.C. or Columbus, Ohio.

MC 115904 (Sub-No. 80), filed August 18, 1977. Applicant: GROVER TRUCKING CO., a corporation, 1710 West Broadway, Idaho Falls, Idaho 83401. Applicant's representative: Irene Warr, 430 Judge Building, Salt Lake City, Utah 84111. Authority sought to operate as a *common carrier*, by motor vehicle over irregular routes, transporting: Pre-cut log home packages knocked down, and materials and supplies used in the erection and construction thereof, from points in Colorado to points in Washington, Oregon, Idaho, Montana, Wyoming, Utah, New Mexico, South Dakota, Kansas, Oklahoma, Texas, Missouri, Wisconsin, Nebraska, and Iowa.

NOTE.—Common control may be involved. If a hearing is deemed necessary, the applicant requests it be held at either Boise, Idaho, or Denver, Colo.

No. 115904 (Sub-No. 81), filed August 23, 1977. Applicant: GROVER TRUCKING CO., a Corporation, 1710 West Broadway, Idaho Falls, Idaho 83401. Applicant's representative: Irene Warr, 430 Judge Building, Salt Lake City, Utah 84111. Authority sought to operate as a *common carrier* by motor vehicle, over irregular routes, transporting *Lumber, lumber mill products, forest products, sawmill products, wood products and composition board*, from points in Colorado, Wyoming, and Pennington County, S. Dak., to points in Arizona, New Mexico, Texas, Oklahoma and Arkansas.

NOTE.—Common control may be involved. If a hearing is deemed necessary, the applicant requests that it be held in Denver, Colo., or Washington, D.C.

No. MC 115975 (Sub-No. 25), filed August 23, 1977. Applicant: C.B.W. TRANSPORT SERVICE, INC., P.O. Box 48, Wood River, Ill. 62095. Applicant's representative: Ernest A. Brooks II, 1301 Ambassador Bldg., St. Louis, Mo. 63101. Authority sought to operate as a *contract carrier*, by motor vehicle, over irregular routes, transporting: *Petroleum oils and grease*, in bulk, in tank vehicles, from the facilities of Exxon Company, U.S.A., located in Allegheny County, Pa.; Harris County, Tex.; and Baton Rouge, La., to points in the United States (except Alaska and Hawaii), under a continuing contract or contracts with Exxon Company, U.S.A.

NOTE.—If a hearing is deemed necessary, applicant requests it be held at St. Louis, Mo., or Washington, D.C.

No. MC 116254 (Sub-No. 183), filed August 15, 1977. Applicant: CHEM-HAULERS, INC., 118 E. Mobile Street, Florence, Ala. 35630. Applicant's representative: Hampton M. Mills (same address as applicant). Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Acids and chemicals* (other than in bulk), from Birmingham, Ala., to points in Connecticut, Delaware, Georgia, Illinois, Indiana, Kansas, Kentucky, Louisiana, Maryland, Massachusetts, Michigan, Mississippi, Missouri, New Hampshire, New Jersey, New York, North Carolina, Ohio, Oklahoma, Pennsylvania, Rhode Island, South Carolina, Tennessee, Texas, West Virginia, and Wisconsin.

NOTE.—If a hearing is deemed necessary, applicant requests that it be held at Birmingham, Ala., or Washington, D.C.

No. MC 117119 (Sub-No. 652), filed September 15, 1977. Applicant: Willis Shaw Frozen Express, Inc., P.O. Box 188, Elm Springs, Ark. 72728. Applicant's representative: Gerald K. Gimmel, Suite 145, 4 Professional Drive, Gaithersburg, Md. 20760. Authority sought to operate as a *common carrier* by motor vehicle, over irregular routes, transporting: *Foodstuffs* (except commodities in bulk), in vehicles equipped with mechanical refrigeration, from Baltimore, Md., points in New Jersey (except Hackettstown), points in Delaware, and points in Pennsylvania on and east of U.S. Highway 15 (except Elizabethtown and Derry Township, Dauphin County) to points in California and Colorado.

NOTE.—Applicant has not filed shipper support and seeks a finding by the Commission that evidence of efficiencies and economies by elimination of joint operations in interline service is a sufficient showing to warrant a grant of authority. Common control may be involved. If a hearing is deemed necessary, applicant does not specify a location.

No. MC 117551 (Sub-No. 11), filed July 18, 1977. Applicant: NEWS & FILM SERVICE, INC., 745 Lipan, Denver, Colo. 80204. Applicant's representative: John H. Lewis, The 1650 Grant St. Bldg., Denver, Colo. 80203. Authority sought to operate as a *common carrier*, by motor vehicle over regular routes, transporting: (1) books and magazines and (2) newspapers, the transportation of which is otherwise exempt from economic regulation pursuant to Section 203(b)(7) of the Act, in mixed loads with books and magazines, (a) between Denver, Colo. and Worland, Wyo., serving all intermediate points in Wyoming on Interstate Highway 25 and U.S. Highway 16: from Denver, Colo. over Interstate Highway 25 to junction U.S. Highway 16 at or near Buffalo, Wyo., thence over U.S. Highway 16 to Worland, Wyo., and return over the same route; (b) between Worland, Wyo. and Casper, Wyo., over U.S. Highway 20, as an alternate route for operating convenience only in connection with applicant's regular route authority; (c) between Denver, Colo. and Rock Springs, Wyo., serving all intermediate points on Interstate Highway 80 between Laramie, Wyo. and Rock Springs, Wyo., (including Laramie and Rock Springs, Wyo.): from Denver, Colo. over Interstate Highway 25 to junction Colorado Highway 14, thence over Colorado Highway 14 to junction U.S. Highway 287, thence over U.S. Highway 287 to junction Interstate Highway 80, thence over Interstate Highway 80 to Rock Springs, Wyo., and return over the same route; (d) between Denver, Colo. and North Platte, Nebr.: from Denver, Colo. over Interstate Highway 76 to junction Interstate Highway 80, thence over Interstate Highway 80 to junction Nebraska Highway 70, thence over Nebraska Highway 70 to North Platte, Nebr.; and return over the same route; (e) between Denver, Colo. and Scottsbluff, Nebr.: from Denver, over Interstate Highway 25 to junction Interstate 80, thence over Interstate Highway 80 to junction Nebraska Highway 71, thence over Nebraska Highway 71 to Scottsbluff and return over the same route; (f) between Scottsbluff and Denver, Colo., over Nebraska Highway 70 to junction Interstate Highway 80, thence over Interstate Highway 80 to junction Interstate Highway 76, thence over Interstate Highway 76 to Denver, Colo., as an alternate route for operating convenience only in connection with applicant's regular route authority.

NOTE.—If a hearing is deemed necessary, applicant requests it be held at Denver, Colo.

No. MC 117568 (Sub-No. 15), filed August 22, 1977. Applicant: KENT TRUCK LINES, INC., P.O. Box 156, Verona, Mo. 65769. Applicant's representative: Larry E. Gregg, 641 Harrison Street, Topeka, Kans. 66603. Authority sought to operate as a *contract carrier*, by motor vehicle, over irregular routes, transporting: *Heating and air conditioning equipment*, from the plantsite and storage facilities of Southwest Manufacturing Co. at or near Aurora, Missouri, to High Point, North Carolina; Minneapolis, Minnesota; and La Crosse, Wisconsin, under a continuing contract or contracts with Southwest Manufacturing Co. of Aurora, Mo.

NOTE.—If a hearing is deemed necessary, applicant requests that it be held in Kansas City, Mo.

No. MC 117686 (Sub-No. 180), filed August 23, 1977. Applicant: HIRSCHBACH MOTOR LINES, INC., 5000 South Lewis Blvd., P.O. Box 417, Sioux City, Iowa 51102. Applicant's representative: Mr. Robert A. Wichser (same address as above). Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: (1) *Glass beads, glass spheres, and thermo plastic*

marking material and (2) *equipment, materials, and supplies* used in the application of the commodities made in (1) above (except commodities in bulk), from Jackson, Miss. to points in Arkansas, Illinois, Iowa, Kansas, Minnesota, Missouri, Nebraska, North Dakota, Oklahoma, and South Dakota.

NOTE.—Common control may be involved. If an oral hearing is deemed necessary, applicant requests that it be held at New Orleans, La., Omaha, Nebr., or Washington, D.C.

No. MC 117940 (Sub-No. 229), filed August 24, 1977. Applicant: NATIONWIDE CARRIERS, INC., Post Office Box 104, Maple Plain, Minn. 55359. Applicant's representative: Allan L. Timmerman (same address as applicant). Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: such commodities as are dealt in by retail department and variety stores (except foodstuffs, those of unusual value, explosives, commodities in bulk, household goods, and those requiring special equipment), (1) From points in Connecticut, Delaware, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, New York, Pennsylvania, Rhode Island, Vermont, Virginia, and the District of Columbia, to points in Ohio; and (2) From points in Connecticut, Delware, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, New York, Ohio, Pennsylvania, Rhode Island, Vermont, Virginia, and the District of Columbia, to points in California, Illinois, Minnesota, Missouri, Tennessee, and Texas. Restricted in (1) and (2) above to traffic originating at named origins and destined to the facilities of Ben Franklin, Division of City Products Corporation at named destination states.

NOTE.—Applicant holds motor contract carrier authority in No. MC 114789 (Sub-No. 16) and other subs, therefore dual operations may be involved. If a hearing is deemed necessary, applicant requests it be held at Chicago, Ill.

No. MC 118159 (Sub-No. 229), filed August 19, 1977. Applicant: NATIONAL REFRIGERATED TRANSPORT INC., P.O. Box 51366, Dawson Station, Tulsa, Okla. 74151. Applicant's representative: Warren Taylor (same address as applicant). Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: (1) *Paper* and *paper products* (except commodities in bulk) from Medina, Ohio to points in New York (except points on and south of Interstate Highway 84); and (2) *Materials and supplies* used in the manufacture and distirbution of paper and paper products, and *paper* (except commodities in bulk), from points in New York (except points on and south of Interestate Highway 84) to Medina, Ohio.

NOTE.—Common control may be involved. If a hearing is deemed necessary, applicant requests that it be held at Chicago, Ill.

No. MC 118776 (Sub-No. 25), filed August 23, 1977. Applicant: C. L. CONNORS, INC., 3820 Wisman Lane, Quincy, Ill. 62301. Applicant's representative: Frank W. Taylor, Jr., Suite 600, 1221 Baltimore Avenue, Kansas City, Mo., 64105. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Beer* from Milwaukee, Wis., to Quincy, Ill.

NOTE.—Common control may be involved. If a hearing is deemed necessary, applicant requests that it be held at Chicago, Ill., or St. Louis, Mo.

No. MC 119493 (Sub-No. 159), filed August 24, 1977. Applicant: MONKEM COMPANY, INC., P.O. Box 1196, Joplin, Mo. 64801. Applicant's representative: Lawrence F. Kloeppel (same address as applicant). Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: Paper and paper products (except in bulk), and products produced or distributed by manufacturers and convertors of paper and paper products, from the plant and storage facilities of Bancroft Bag Co., located at or near West Monroe, La., to Chicago, Henry, Lexington, Jacksonville, Piper City, Bushnell, and E. St. Louis, Ill., and points in their respective commercial zones; Greencastle, Jeffersonville, and South Bend, Ind., and points in their respective commercial zones, and points in Indiana within the Chicago, Ill. commercial zone; DeWitt, Belmond, and Conrad, Iowa, and points in their respective commercial zones; and St. Louis and St. Louis County, Mo.

NOTE.—If a hearing is deemed necessary, applicant requests that it be held at Joplin, Springfield, or Kansas City, Mo.

No. MC 119577 (Sub-No. 23), filed August 18, 1977. Applicant: OTTAWA CARTAGE, INC., P.O. Box 458, Ottawa, Ill. 61350. Applicant's representative: Robert H. Levy, 29 South LaSalle Street, Chicago, Ill. 60603. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Ground fire brick*, in bulk, in tank and/or hopper-type vehicles, from Andersonville, Ga., to Niles, Ill.

NOTE.—If a hearing is deemed necessary, the applicant requests that it be held at Chicago, Ill.

No. MC 119726 (Sub-No. 101), filed August 19, 1977. Applicant: N.A.B. TRUCKING CO., INC., 1644 W. Edgewood Avenue, Indianapolis, Ind. 46217. Applicant's representative: James L. Beattey, 130 East Washington Street, Suite 1000, Indianapolis, Ind. 46204. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Residential air coolers, or air conditioners, furnaces, and house heaters, heat exchanges, and parts* used in the manufacturing of the above named commodities, (1) from the plant and warehouse facilities of the Rheem Air Conditioning Division at or near Milledgeville, Georgia, to points in Alabama, Florida, Illinois, Indiana, Kentucky, Michigan, Mississippi, Ohio, Tennessee, Minnesota, Missouri, North Carolina, South Carolina, West Virginia, and Pennsylvania, and (2) from the above destination states to the plant and warehouse facilities of Rheem Air Conditioning Division, at or near Milledgeville, Ga.

NOTE.—If a hearing is deemed necessary, applicant requests that it be held at Fort Smith, Ark. or Indianapolis, Ind.

No. MC 119789 (Sub-No. 367), filed August 24, 1977. Applicant: CARAVAN REFRIGERATED CARGO, INC., P.O. Box 6188, Dallas, Tex. 75222. Applicant's Representative: James K. Newbold, Jr. (same address as applicant). Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting *foodstuffs* (except in bulk), from points in Connecticut, New Jersey, New York, and Pennsylvania to points in Arizona, Arkansas, California, Colorado, Idaho, Kansas, Louisiana, Missouri, Montana, Nevada, New Mexico, Oklahoma, Oregon, Texas, Utah, Washington, and Wyoming.

NOTE.—If an oral hearing is deemed necessary, the applicant requests that it be held at New York, N.Y. or Washington, D.C.

Docket No. MC 119872 (Sub-No. 15), filed August 24, 1977. Applicant: GULF TRANSPORT LIMITED, 16 Exhibition Drive, Charlottetown, Prince Edward Island, Canada. Applicant's attorney: Kenneth B. Williams, 84 State Street Boston Mass. 02109. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: Frozen Vegetables, except in bulk, from ports of entry on the International Boundary between the United States and Canada at or near Houlton and Calais, Maine to points in Maine, New Hampshire, New York, New Jersey, Pennsylvania, Massachusetts, Connecticut, and Maryland. Restricted to shipments originating at Oxford, Nova Scotia.

NOTE.—If a hearing is deemed necessary, applicant requests that it be held at Boston, Mass. or Portland, Maine.

No. MC 119988 (Sub No. 122), filed August 22, 1977. Applicant: GREAT WESTERN TRUCKING CO., INC., Highway 103, P.O. Box 1384, Lufkin, Tex. 75901. Applicant's representative: Clayte Binion 1108 Continental Life Building, Fort Worth, Tex. 76102. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting *Canned fruit and canned vegetable juices*, from Weslaco, Tex., to points in the United States (except Alaska and Hawaii).

NOTE.—If a hearing is deemed necessary applicant requests it be held at either McAllen, or San Antonio, Tex.

MC 123048 (Sub-No. 364), filed August 18, 1977. Applicant: DIAMOND TRANSPORTATION SYSTEM, INC., 5021 21st Street, Post Office Box 1557, Racine, Wis. 53401. Applicant's representative: Paul C. Gartzke, 121 West Doty Street, Madison, Wis. 53703. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, in the transportation of *wire rod and reinforcing bars*, from Georgetown Steel Corp. located at Georgetown, South Carolina to

points in Michigan, Indiana, Missouri, Illinois, and Ohio.

NOTE.—If a hearing is deemed necessary, applicant requests it be held at Charleston, S.C. or Washington, D.C.

No. MC 123061 (Sub-No. 90), filed August 18, 1977. Applicant: LEATHAM BROTHERS, INC., 46 Orange Street, Post Office Box 16026, Salt Lake City, Utah 84116. Applicant's representative: Harry D. Pugsley, Suite 1200, 310 South Main Street, Salt Lake City, Utah 84101. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: Fibreboard or pulpboard boxes or sheets, corrugated or not corrugated, knocked down flat, from the plantsite of Boise Cascade Corp., at or near Burley, Idaho, to points in Utah.

NOTE.—If a hearing is deemed necessary, applicant requests it be held at either Boise, Idaho or Salt Lake City, Utah.

No. MC 123255 (Sub-No. 116), filed August 15, 1977. Applicant: B. & L. MOTOR FREIGHT, INC., 140 Everett Avenue, Newark, Ohio 43055. Applicant's representative: C. F. Schnee, Jr., 140 Everett Avenue, Newark, Ohio 43055. Authority sought to operate as a *Common Carrier* by motor vehicle over irregular routes tranpsorting (1) *Containers and container Accessories*, and (2) *Material, Equipment and Supplies* used in the manufacture and distribution of containers and container accessories, between the facilities of Kerr Glass Manufacturing Corporation at or near Wilson, North Carolina on the one hand, and, on the other, points in the States of Alabama, Arkansas, Connecticut, Delaware, District of Columbia, Florida, Georgia, Illinois, Indiana, Iowa, Kansas, Kentucky, Louisiana, Maryland, Massachusetts, Michigan, Minnesota, Mississippi, Missouri, Nebraska, New Jersey, New York, North Carolina, North Dakota, Ohio, Oklahoma, Pennsylvania, Rhode Island, South Carolina, South Dakota, Tennessee, Texas, Virginia, West Virginia, and Wisconsin.

NOTE.—Common control may be involved. If a hearing is deemed necessary, applicant requests that it be held at Columbus, Ohio.

No. MC 123255 (Sub-No. 117), filed August 25, 1977. Applicant: B. & L. MOTOR FREIGHT, INC., 140 Everett Avenue, Newark, Ohio 43055. Applicant's representative: C. F. Schnee, Jr. (same address as applicant). Authority sought to operate as a *Common Carrier* by motor vehicle over irregular routes transporting *bulbs, tubes or funnels, electric, or electronic without metal fittings or parts; plates, face or implosion, television or television tubes*, from Columbus, Ohio, to points in New Jersey and New York.

NOTE.—If a hearing is deemed necessary, the applicant requests that it be held at Columbus, Ohio. Common control may also be involved.

No. MC 123819 (Sub-No. 47), filed August 19, 1977. Applicant: ACE FREIGHT LINE, INC., P.O. Box 16589, Memphis, Tenn. 38116. Applicant's representative: Bill R. Davis, Suite 101—Emerson Center, 2814 New Spring Rd., Atlanta, Ga. 30339. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Paper* from Arkansas, Florida, Louisiana, Ohio, and Texas to Yazoo City, Miss.

NOTE.—If a hearing is deemed necessary, the applicant requests it be held at Jackson or Biloxi, Miss.; or Memphis, Tenn.

No. MC 123987 (Sub-No. 6), filed August 17, 1977. Applicant: JEWETT SCOTT TRUCK LINE, INC., P.O. Box 267, Mangum, Okla. 73554. Applicant's representative: Robert M. Pearce, P.O. Box 1899, Bowling Green, Ky. 42101. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: Ground clay, in bags, from the plant site of Industrial Mineral Ventures, Inc. located at or near Lathrop Wells, Nev., to points in Kansas, New Mexico, Oklahoma, and Texas.

NOTE.—If a hearing is deemed necessary, applicant requests that it be held at either Oklahoma City, Okla., or Dallas, Tex.

No. MC 124170 (Sub-No. 69), filed August 19, 1977. Applicant: FROSTWAYS, INC., 3000 Chrysler Service Drive, Detroit, Mich. 48207. Applicant's representative: William J. Boyd, 600 Enterprise Drive, Suite 222, Oak Brook, Ill. 60521. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting malt beverages from Orange, New Jersey, to points in North Carolina, South Carolina, Georgia, Florida, Alabama, Mississippi, Louisiana, and Tennessee.

NOTE.—If a hearing is deemed necessary, the applicant requests it be held in New York City, N.Y. or Washington, D.C.

No. MC 124170 (Sub-No. 70), filed August 19, 1977. Applicant: FROSTWAYS, INC., 3000 Chrysler Service Drive, Detroit, Mich. 48207. Applicant's representative: William J. Boyd, 600 Enterprise Drive, Suite 222, Oak Brook, Ill. 60521. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: Malt beverages, from Orange, N.J., to points in Pennsylvania, Ohio, Michigan, Indiana, Illinois, Kentucky, Missouri, Iowa, and Minnesota.

NOTE.—If a hearing is deemed necessary, the applicant requests that it be held at New York City, N.Y. or Washington, D.C.

MC 124211 (Sub-No. 301), filed August 12, 1977. Applicant: HILT TRUCK LINE, INC., P.O. Box 988, D.T.S., Omaha, Nebr. 68101. Applicant's representative: Thomas L. Hilt (same address as applicant). Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes transporting: Foodstuffs, from points in Rockingham and Shenandoah Counties, Va., to points in the United States in and west of Minnesota, Wisconsin, Indiana, Kentucky, Tennessee, Georgia, and Florida, except Alaska and Hawaii.

NOTE.—Common control may be involved. If oral hearing is deemed necessary, applicant requests it be held at Washington, D.C.

No. MC 124821 (Sub-No. 26), filed August 24, 1977. Applicant: WILLIAM GILCHRIST, 509 Susquehanna Avenue, Old Forge, Pa. 18518. Applicant's representative: John W. Frame, Box 626, 2207 Old Gettysburg Road, Camp Hill, Pa. 17011. Authority sought to operate as a *common carrier*, by motor vehicle, in interstate or foreign commerce, over irregular routes, transporting: *Fibrous glass products and materials, mineral wool, mineral products* and *materials, insulated air ducts, insulating products and materials; glass fiber rovings, yarn and strands, glass fiber mats and mattings*, from the plantsite and facilities of CertainTeed Corp., located at or near Mountaintop, Pa., to points in Connecticut, Delaware, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, New York, Rhode Island, Virginia, Vermont, the District of Columbia, Michigan, Ohio, Indiana, Illinois, Kentucky, West Virginia, and Wisconsin.

NOTE.—Common control may be involved. If a hearing is deemed necessary, applicant requests that it be held at Harrisburg, Pa.

No. MC 125246 (Sub-No. 6) (correction), filed July 11, 1977, published in the FEDERAL REGISTER issue of August 25, 1977, and republished as corrected this issue. Applicant: BOB WHITAKER, doing business as BOB WHITAKER & SON, P.O. Box 65, Roswell, N. Mex. 88201. Applicant's representative: Edwin E. Piper, Jr., 1115 Sandia Savings Building, Albuquerque, N. Mex. 87102. Authority sought to operate as a *contract carrier*, by motor vehicle, over irregular routes, transporting: *Meats, meat products and articles distributed by meatpacking houses*, between points in Bernalillo, Chaves Counties, N. Mex.; Potter, Randall Counties, Tex.; DeSoto County, Miss.; Shelby County, Tenn., on the one hand, and, on the other, points in the United States (except Alaska and Hawaii), under a continuing contract, or contracts, with Glover, Inc., restricted against traffic moving from the facilities of Glover, Inc., at or near Roswell, N. Mex., to points in Arizona, California, and Texas.

NOTE.—The purpose of this republication is to correct the territorial description. If a hearing is deemed necessary, applicant requests it be held at Albuquerque, N. Mex.

No. MC 125433 (Sub-No. 117), filed August 19, 1977. Applicant: F–B TRUCK LINE CO., a corporation, 1945 South Redwood Road, Salt Lake City, Utah 84104. Applicant's representative: David J. Lister (same address as applicant). Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Pre-cut log buildings and materials and supplies* used in or incidental to the erection thereof, from the plantside and shipping facilities of Pressure Treated Timber located at or near Boise, Idaho to points

in the United States (except Alaska and Hawaii).

NOTE.—Common control may be involved. If a hearing is deemed necessary, applicant requests it be held at Boise, Idaho, or Salt Lake City, Utah.

No. MC 126118 (Sub-No. 49), filed August 15, 1977. Applicant: CRETE CARRIER CORP., P.O. Box 81228, Lincoln, Nebr. 68501. Applicant's representative: Duane W. Acklie (same address as applicant). Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Malt beverages*, from Detroit, Mich. to points in North Carolina.

NOTE.—Applicant holds contract carrier authority in No. MC 128375 (Sub-No. 1) and other subs, therefore, dual operations may be involved. Common control may be involved. If a hearing is deemed necessary, applicant requests it be held at Lincoln, Nebr. or Winston-Salem, N.C.

No. MC 126198 (Sub-No. 16), filed August 17, 1977. Applicant: MICHAUD TRUCKING, INC., 133 Birch Street, Kingsford, Mich. 49801. Applicant's representative: William J. Bolognesi, 116 East Brown Street, P.O. Box 705, Iron Mountain, Mich. 49801. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Malt beverages*, in containers, and *related advertising materials*, from the plantsites of Sterling Division of G. Heileman Brewing Co., Inc., located at Evansville, Ind., and the G. Wiedemann Division, G. Heileman Brewing Co., Inc., located at Newport, Ky., to points in the Upper Peninsula of Michigan, and Aurora, Wis.; and *empty containers*, on return.

NOTE.—If a hearing is deemed necessary, applicant requests it be held at Milwaukee, Wis.

No. MC 126402 (Sub-No. 16), filed August 22, 1977. Applicant: JACK WALKER TRUCKING SERVICE, INC., 844 Loudon Avenue, Lexington, Ky. 40505. Applicant's representative: George M. Catlett, Suite 708 McClure Building, Frankfort, Ky. 40601. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Malt beverages*, in containers, from Detroit, Mich., to points in Bourbon County, Ky.

NOTE.—If a hearing is deemed necessary, applicant requests that it be held at Lexington or Louisville, Ky.

No. MC 126473 (Sub-No. 31), filed August 19, 1977. Applicant: HAROLD DICKEY TRANSPORT, INC., Packwood, Iowa 52580. Applicant's representative: Kenneth F. Dudley, 611 Church Street, P.O. Box 279, Ottumwa, Iowa 52501. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: Nitrogen Fertilizer Solutions, in bulk, in tank vehicles, from Fulton, Ill. to points in Iowa and Minnesota. Restricted to traffic originating at the Fulton River Terminal at Fulton, Ill.

NOTE.—If a hearing is deemed necessary, the applicant requests it be held in Chicago, Illinois or Des Moines, Iowa.

No. MC 126899 (Sub. 117), filed August 25, 1977. Applicant: USHER TRANSPORT, INC., P.O. Box 3156, Paducah, Ky. 42001. Applicant's representative: George M. Catlett, 708 McClure Building, Frankfort, Ky. 40601. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: Alcohol, and alcoholic liquors, in bulk and in containers, from Laredo, Tex., and New Orleans, La., to Paducah, Ky.

NOTE.—If a hearing is deemed necessary, the applicant requests that it be held at either Paducah or Louisville, Ky.

No. MC 127042 (Sub-No. 191), filed August 15, 1977. Applicant: HAGEN, INC., P.O. Box 98-Leeds Station, Sioux City, Iowa 51108. Applicant's representative: Robert G. Tessar, P.O. Box 98-Leeds Station, Sioux City, Iowa 51108. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Frozen fish products, corn dogs, and onion rings*, from the facilities of Moore's Food Products at or near Fort Atkinson, WI, to Iowa, Illinois, Indiana, Ohio, Kentucky, Tennessee, Arkansas, Oklahoma, Texas, Kansas, Minnesota, Missouri, and Nebraska.

NOTE.—If a hearing is deemed necessary, applicant requests it be held at Milwaukee, Wis.

No. MC 127187 (Sub-No. 26), filed August 24, 1977. Applicant: FLOYD DUENOW, INC., 1728 Industrial Park Blvd., Fergus Falls, Minn. 56537. Applicant's representative: Greg C. Johnson, (same address as applicant). Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Lumber* from the ports of entry on the international boundary line between the United States and Canada located in North Dakota and Minnesota, to points in Illinois, Iowa, North Dakota, South Dakota, Minnesota, and Wisconsin. Restriction: Restricted to traffic originating at the facilities of Manitoba Forestry Resources Ltd. at or near Winnipeg, Manitoba.

NOTE.—If a hearing is deemed necessary, applicant requests that it be held at Fargo, N. Dak.

No. MC 127625 (Sub-No. 24), filed August 24, 1977. Applicant: SANTEE CEMENT CARRIERS, INC., P.O. Box 638, Holly Hill, S.C. 29059. Applicant's representative: Frank B. Hand, Jr., P.O. Drawer C, Berryville, Va. 22611. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Lumber*, from the plant sites of Holly Hill Lumber Co. located at Holly Hill, S.C., and Walterboro, S.C., to points in Alabama, Indiana, Kentucky, Maryland, Ohio, Pennsylvania, Tennessee, Virginia, and West Virginia.

NOTE.—Common control may be involved. If a hearing is deemed necessary, the applicant requests it be held at Columbia, S.C.

No. MC 128270 (Sub-No. 23), filed August 15, 1977. Applicant: REDIEHS INTERSTATE, INC., 1477 Ripley Street, Lake Station, Ind. 46405. Applicant's representative: Richard A. Kerwin, 180 North La Salle Street, Chicago, Ill. 60601. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Lumber, lumber products, pallets, pallet parts* and *millwork*, from points in Alabama, Arkansas, Georgia, Illinois, Indiana, Iowa, Kentucky, Louisiana, Mississippi, Missouri, Ohio, Oklahoma, Tennessee, Texas, and Wisconsin to points in Arkansas, Illinois, Indiana, Iowa, Kansas, Kentucky, Michigan, Minnesota, Missouri, Nebraska, North Dakota, Ohio, Oklahoma, South Dakota, Tennessee, Texas, and Wisconsin.

NOTE.—If a hearing is deemed necessary, applicant requests it be held in Chicago, Ill.

No. MC 128270 (Sub-No. 24), filed August 18, 1977. Applicant: REDIEHS INTERSTATE, INC., 1477 Ripley Street, Lake Station, Ind. 46405. Applicant's representative: Richard A. Kerwin, 180 North La Salle Street, Chicago, Ill. 60601. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Lumber and lumber products*, from points in Colorado, Idaho, Montana, New Mexico, Oregon, South Dakota, Washington and Wyoming, to points in Illinois, Indiana, Iowa, Michigan, Minnesota, Missouri, and Wisconsin.

NOTE.—If a hearing is deemed necessary, the applicant requests that it be held at Chicago, Ill.

Docket No. MC 128273 (Sub-No. 263), filed August 22, 1977. Applicant: MIDWESTERN DISTRIBUTION, INC., P.O. Box 189, Fort Scott, Kans. 66701. Applicant's representative: Elden Corban (same address as applicant). Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Printed matter and materials and supplies*, used in the manufacture of printed matter (except commodities in bulk), between Willard, Ohio, and Crawfordsville, Ind., on the one hand, and, on the other, points in the United States in and east of Wisconsin, Illinois, Kentucky, Tennessee, and Mississippi.

NOTE.—If a hearing is deemed necessary, the applicant requests it be held at Chicago, Ill., or Washington, D.C.

No. MC 128302 (Sub-No. 10), filed August 23, 1977. Applicant: THE MANFREDI MOTOR TRANSIT COMPANY, a corporation, 11250 Kinsman Road, Newbury, Ohio 44065. Applicant's representative: John P. McMahon, 100 East Broad Street, Suite 1800, Columbus, Ohio 43215. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Liquid concrete admixtures*, in bulk, in tank vehicles, from Dayton, Ohio, to points in the United States (except points in Alaska, Arizona, California, Hawaii, Idaho, Montana, Nevada, New Mexico, Oregon, Utah, Washington and Wyoming).

NOTE.—Applicant holds contract carrier authority in No. MC 112184 (Sub-No. 2) and other subs, therefore dual operations may

be involved. If a hearing is deemed necessary, applicant requests that it be held at Columbus, Ohio.

No. MC 128449 (Sub-No. 9) filed August 23, 1977. Applicant: JAMES A. TUCKER, DOING BUSINESS AS, JIMMIE TUCKER TRUCKING, P.O. Box 428, Broken Bow, Okla. 74728. Applicant's representative: Rufus H. Lawson, 106 Bixler Building, 2400 Northwest 23rd Street, Oklahoma City, Okla. 73107. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Wood posts, poles and lumber, treated and untreated*, from the plantsite of the Weyerhaeuser Co., located at or near DeQueen, Ark., to points in Colorado, Kansas, Iowa, Nebraska, New Mexico, Missouri, Oklahoma, and Texas.

NOTE.—If a hearing is deemed necessary, the applicant requests that it be held at either Oklahoma City, Okla., or Dallas, Tex.

No. MC 128772 (Sub-No. 13), filed August 24, 1977. Applicant: STAR BULK TRANSPORT, INC., 821 North Front Street, New Ulm, Minn. 56073. Applicant's representative: Val M. Higgins, 1000 First National Bank Building, Minnesapolis, Minn. 55402. Authority sought to operate as a *contract carrier*, by motor vehicle, over irregular routes, transporting: *Butter and cheese*, between New Ulm, Minn., on the one hand, and, on the other, Omaha and Plainview, Nebr.; Freeman, S. Dak.; and points in Iowa, under a continuing contract or contracts with Associated Milk Producers, Inc., of New Ulm, Minn.

NOTE.—If a hearing is deemed necessary, applicant requests that it be held at Minneapolis, Minn.

No. MC 129086 (Sub-No. 25), filed August 15, 1977. Applicant: SPENCER TRUCKING CORPORATION, Route 2, Box 254A, Keyser, W. Va. 26726 Applicant's representative: Edward N. Button, 1329 Pennsylvania Avenue, Post Office Box 1417, Hagerstown, Md. 21740. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Cullet*, between points in Maryland, New Jersey, Pennsylvania, Ohio, Virginia, West Virginia, and the District of Columbia.

NOTE.—Common control may be involved. If a hearing is deemed necessary, the applicant requests it be held at Cleveland, Ohio.

No. MC 129455 (Sub-No. 25), filed August 25, 1977. Applicant: CARRETTA TRUCKING, INC., S 160, Route 17 North, Paramus, N.J. 07652. Applicant's representative: Charles J. Williams, 1815 Front Street, Scotch Plains, N.J. 07076. Authority sought to operate as a *contract carrier*, by motor vehicle, over irregular routes, transporting: *Disposable aluminum articles and disposable plastic articles, expanded*, from Niles and Wheeling, Ill., to points in the United States (except Alaska and Hawaii), under a continuing contract or contracts with E-Z Por Corp. located at Niles, Ill.

NOTE.—If a hearing is deemed necessary, the applicant requests that it be held at Chicago, Ill.

No. MC 129973 (Sub-No. 15), filed August 23, 1977. Applicant: FIELD MARKETING SERVICES, INC., 241 Fifth Street, Cambridge, Mass. 02142. Applicant's representative: William J. Lippman, Suite 550, 1819 H Street NW., Washington, D.C. 20006. Authority sought to operate as a *contract carrier* by motor vehicle, over irregular routes transporting: *Such merchandise, equipment, and supplies as are sold, used, or distributed by a manufacturer of household products*, between points in Massachusetts, under a continuing contract or contracts with Amway Corp. of Dayton, N.J.

NOTE.—If a hearing is deemed necessary, applicant requests that it be held at Boston, Mass.

No. MC 133095 (Sub-No. 171), filed August 22, 1977. Applicant: TEXAS-CONTINENTAL EXPRESS, INC., P.O. Box 434, Euless, Tex. 76039. Applicant's representative: Hugh T. Matthews, 2340 Fidelity Union Tower, Dallas, Tex. 75201. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Alcoholic beverages* (except in bulk) from Jacksonville, Fla., and New Orleans, La., to points in Texas, Oklahoma, Kansas, Missouri, Arkansas, Colorado, and New Mexico.

NOTE.—Applicant holds motor contract carrier authority in No. 136032 and subs thereunder, therefore dual operations may be involved. If a hearing is deemed necessary, applicant requests it be held at Dallas, Tex.

MC 133741 (Sub-No. 22), filed August 15, 1977. Applicant: OSBORNE TRUCKING CO., INC., 1008 Sierra Drive Riverton, Wyo. 82501. Applicant's representative: John T. Wirth, 2310 Colorado State Bank Building, 1600 Broadway, Denver, Colo. 80202. Authority sought to operate as a *contract carrier*, by motor vehicle, over irregular routes, transporting: *Lumber and lumber products*, from the facilities utilized by Louisiana-Pacific Corp., at Riverton, Wyo., to points in Utah, restricted to a transportation service to be performed, under a continuing contract or contracts, with the Louisiana-Pacific Corp.

NOTE.—Applicant holds common carrier authority in MC 134370 and subs thereunder, therefore dual operations may be involved. If a hearing is deemed necessary, applicant requests it be held at Portland, Oreg., or Denver, Colo.

No. MC 134022 (Sub-No. 29), filed August 22, 1977. Applicant: RICHARD A. ZIMA, doing business as ZIPCO, P.O. Box 715, West Bend, Wis. 53095. Applicant's representative: Nancy J. Johnson, 4506 Regent Street, Suite 100, Madison, Wis. 53705. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: (1) *Frozen foodstuffs* (except frozen potato products) from Plover, Wis., to points in the United States (except Alaska and Hawaii); and (2) *returned and rejected shipments, and materials, equipment, and supplies* used in the manufacture of frozen foodstuffs, from points in the territory described in part (1) above, to Plover, Wis.

NOTE.—If a hearing is deemed necessary, applicant requests it be held at either Madison or Milwaukee, Wis., or Chicago, Ill.

MC 134035 (Sub-No. 20), filed August 23, 1977. Applicant: DOUGLAS TRUCKING CO., a corporation, P.O. Box 698, Highway 75 South, Corsicana, Tex. 75110. Applicant's representative: Clint Oldham, 1108 Continental Life Building, Fort Worth, Tex. 76102. Authority is sought to operate as a *comomn carrier*, by motor vehicle, over irregular routes, transporting: *Plastic enclosures and lids and attachments for such enclosures*, from the plantsite and storage facilities of Intercontinental Plastics Manufacturing Co., loacted at or near Dallas, Tex., to points in the United States (except Alaska and Hawaii).

NOTE.—If an oral hearing is deemed necessary, the applicant requests that it be held at Dallas, Tex.

No. MC 134286 (Sub-No. 26) (correction), filed May 31, 1977, published in the FEDERAL REGISTER issue of July 8, 1977, and republished as corrected this issue. Applicant: ILLINI EXPRESS, INC., P.O. Box 1564, Sioux City, Iowa 51102. Applicant's representative: Charles J. Kimball, 350 Capitol Life Center, 1600 Sherman Street, Denver, Colo. 80203. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: (1) *Foodstuffs*, (2) *pharmaceutical materials, supplies and products*, (3) *chemicals*, (4) *alcoholic beverages*, (5) *tobacco products*, (6) *pet foods*, (7) *such commodities* as are dealt in by distribution or consolidation warehouses for the commodities described in (1) through (6); and (8) exempt commodities when moving with regulated commodities, (A) from Denver, Colo., to points in the United States in and west of Minnesota, Iowa, Missouri, Arkansas, and Louisiana (except Alaska and Hawaii); and (B) from points in the United States in and west of Minnesota, Iowa, Missouri, Arkansas, and Louisiana (except Alaska and Hawaii), to Denver, Colo., restricted against the transportation of commodities in bulk.

NOTE.—The purpose of this republication is to give notice of applicant's intention to tack (A) and (B) at Denver, Colo. Common control may be involved. If a hearing is deemed necessary, the applicant requests that it be held on a consolidated record with similar applications at Denver, Colo.

No. MC 134328 (Sub-No. 5), filed August 18, 1977. Applicant: D & G TRUCKING CO., INC., 1450 Hamilton Avenue, Wynne, Ark. 72396. Applicant's representative: James N. Clay, III, 2700 Sterick Building, Memphis, Tenn. 38103. Authority sought to operate as a *contract carrier*, by motor vehicle, over irregualr routes, transporting: (1) *Copper articles and items used in the manufacture and distribution of copper articles* (except

commodities in bulk) between Wynne, Ark., Pine Hall, N.C., Zelienople, Pa., and Pulaski, Tenn., on the one hand, and, on the other, points in the United States (except Alaska and Hawaii); and (2) *steel pipe*, from ports of entry on the international boundary line between the United States and Canada, to points in the United States (except Alaska and Hawaii), under a continuing contract or contracts with Cambridge-Lee Industries, Inc. of Boston, Mass.

NOTE.—If a hearing is deemed necessary, the applicant requests that it be held at Memphis, Tenn.

No. MC 134783 (Sub-No. 38), filed August 23, 1977. Applicant: DIRECT SERVICE, INC., 940 East 66th Street, Lubbock, Tex. 79408. Applicant's representative: Charles M. Williams, 350 Capitol Life Center, 1600 Sherman St., Denver, Colo. 80203. Authority sought as a *common carrier* by motor vehicle, over irregular routes, transporting: *Meat, meat products, meat by-products and articles distributed by meat packinghouses*, as described in Sections A and C to Appendix I to the report in Descriptions in Motor Carrier Certificates, 61 M.C.C. 209 and 766 (except hides and commodities in bulk). From: Plainview, Tex. To points in Alabama and South Carolina. Common control may be involved. Applicant holds contract carrier authority in Docket No. MC 139309 and (Sub-No. 1) thereto; therefore, dual operations may be involved. If a hearing is deemed necessary, Applicant requests that it be held at Wichita, Kans. or Lubbock, Tex.

No. MC 134922 (Sub-No. 234), filed August 19, 1977. Applicant: B. J. McADAMS, INC., Route 6, Box 15, North Little Rock, Ark. 72118. Applicant's representative: Bob McAdams (same address as applicant). Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Display Units for carpet samples, store displays, and display racks and stands*. From: points in Arizona, California, Idaho, Nevada, Oregon, Utah and Washington to Little Rock, Arkansas.

NOTE.—Common control may be involved. If a hearing is deemed necessary, the Applicant requests it be held at Little Rock, Arkanas or Washington, D.C.

No. MC 135082 (Sub-No. 53), filed August 22, 1977. Applicant: BURSCH TRUCKING, INC. d.b.a. ROADRUNNER TRUCKING, INC., P.O. Box 26748, 415 Rankin Road N.E., Albuquerque, N. Mex. 87125. Applicant's representative: Randall R. Sain (same address as applicant). Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Gypsum, gypsum products and materials and accessories used in the installation thereof*, (A) from Rosario, New Mexico, to points in Arizona, Colorado, Wyoming, Nebraska, Kansas, California, Nevada and Utah; and (B) from Albuquerque, New Mexico, to points in California, Nevada and Utah.

NOTE.—Applicant holds contract carrier authority in No. MC 115524 (Sub-No. 2) and other subs, therefore dual operations may be involved. Common control may also be involved. If a hearing is deemed necessary, the applicant requests that it be held at Albuquerque, N. Mex. Applicant intends to tack the requested authority with its existing irregular authority at Albuquerque, N. Mex. to provide a through service to points in Wyoming, Montana, Idaho, Oregon, and Washington.

No. MC 135358 (Sub-No. 2), filed August 16, 1977. Applicant: DORY EXPRESS, LTD., 405 Broad St., Waverly, N.Y. 14892. Applicant's representative: Donald C. Carmien, 22 Riverside Dr., Binghamton, N.Y. 13905. Authority sought to operate as a *Contract Carrier* by motor vehicle over irregular routes, transporting: *Glass containers* from Wharton, New Jersey to points and places in the New York Counties of Broome, Oneida, Onondaga, Oswego, Wayne and Monroe; and Milton, Avis and Aspers, Pa. Restriction: Operations proposed are limited to the transportation service to be performed under a continuing contract or contracts with Thatcher Glass Manufacturing Company, Division of Dart Industries, Inc.

NOTE.—If a hearing is deemed necessary, applicant requests that it be held at Binghamton, N.Y.

No. MC 135684 (Sub-No. 52), filed August 22, 1977. Applicant: BASS TRANSPORTATION CO. INC., P.O. Box 391, Old Croton Rd., Flemington, N.J. 08822. Applicant's representative: Herbert Alan Dubin, Federal Bar Building West, 1819 H. Street, NW., Suite 1030, Washington, D.C. 20006. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: Waste and Scrap Paper and non-ferrous metals recycling between points in Connecticut, Illinois, Indiana, Kentucky, Massachusetts, Michigan, New Jersey, New York, Ohio, Pennsylvania, Rhode Island, and West Virginia.

NOTE.—If a hearing is deemed necessary, applicant requests that it be held at Washington, D.C.

No. MC 135797 (Sub-No. 76), filed June 13, 1977. Applicant: J. B. HUNT TRANSPORT, INC., P.O. Box 200, Lowell, Ark. 72745. Applicant's representative: Paul A. Maestri (same address as applicant). Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: (1) *Ground waste paper, liquid adhesives in containers and machinery and equipment*, necessary for mixing, blending and applying such ground waste paper and liquid adhesives, (a) from Dayton, Ohio; and Houston, Tex., to points in the United States, including Alaska but excluding Hawaii; and (b) from ports of entry on the International Boundary line between the United States and Canada located at Blaine and Sumas, Wash., to points in the United States including Alaska, but excluding Hawaii; restricted in (1) (b) above to traffic originating at Vancouver, British Columbia, Canada; and (2) *machinery, materials, equipment and supplies*, used in or in connection with the manufacture, distribution, application or use of the commodities named in (1) above, (a) from points in the United States, including Alaska, but excluding Hawaii, to Dayton, Ohio; and Houston, Tex., and (b) from points in the United States, including Alaska but excluding Hawaii, to ports of entry on the International Boundary line between the United States and Canada located at Blaine and Sumas, Wash., restricted in (2) (b) above to traffic destined to Vancouver, British Columbia, Canada. Restriction: The transportation of commodities named herein is restricted against the transportation of liquids in bulk.

NOTE.—If a hearing is deemed necessary, the applicant requests it be held at Houston, Tex., or Washington, D.C. Common control may be involved.

No. MC 136221 (Sub-No. 8), filed August 23, 1977. Applicant: H. L. STANSELL, INC., 1015 Illinois Ave., Palm Harbor, Fla. 33563. Applicant's representative: David C. Venable, 805 McLachlen Bank Bldg., 666 Eleventh Street NW., Washington, D.C. 20001. Authority sought by applicant to operate as a *contract carrier*, by motor vehicle, over irregular routes, transporting: (1) *Doors, door fixtures, door accessories, door hardware, door operators* and (2) *materials, supplies, parts, and equipment* used in the installation of the commodities named in (1) above, from Century, Fla., Williamsport, Pa., and Greenbrook, N.J., to points in Washington Oregon, Utah, and Colorado, under a continuing contract, or contracts, with Jim Walter Doors, Div. of the Celotex Corporation.

NOTE.—If a hearing is deemed necessary, it is requested at Tampa, Fla. Applicant has common carrier authority pending in No. MC 152592, therefore dual operations may be involved.

No. MC 136221 (Sub-No. 9), filed August 23, 1977. Applicant: H. L. STANSELL, INC., 1015 Illinois Ave., Palm Harbor, Fla. 33563. Applicant's representative: David C. Venable, 805 McLachlen Bank Bldg., 666 Eleventh Street NW., Washington, D.C. 20001. Authority sought by applicant to operate as a *contract carrier*, by motor vehicle, over irregular routes, transporting: *Iron and steel, and iron and steel articles*, from New York, N.Y., Philadelphia, Pa., Baltimore, Md., and points in their respective Commercial Zones and points in New Jersey to Tampa, Florida, under a continuing contract or contracts with Atlantic Metal Industries, Inc., of Tampa, Fla.

NOTE.—Applicant has motor common carrier authority pending in No. MC 142592, therefore, dual operations may be involved. If a Hearing is deemed necessary, applicant requests that it be held at Tampa, Fla.

No. MC 136228 (Sub-No. 30), filed August 1, 1977. Applicant: LUISI TRUCK LINES, INC., P.O. Box H, Milton-Freewater, Oreg. 97862. Applicant's representative: Philip G. Skofstad, P.O. Box 594, Gresham, Oreg. 97030. Authority sought to operate as a *common carrier*,

by motor vehicle, over irregular routes, transporting: A. (1) *Canned goods, frozen food, wine and malt beverages,* and (2) *Agricultural commodities,* the transportation of which is exempt from economic regulation when moving in the same vehicle at the same time with commodities set out in (1) above, from points in Los Angeles, Orange, Riverside, Kern, Fresno, Madera, Merced, Stanislaus, San Joaquin, Santa Clara, Sacramento, San Benito, San Francisco and Napa Counties, California to the plant site and warehouse facilities of La Grande Fruit Co. at or near Nyssa, Pendleton and La Grande, Oregon; and B. *Wine and malt beverages,* from points in California to the plant site and warehouse facilities of Yakima County Beverage Co., Inc. at or near Yakima, Washington; and C. *Frozen fruit and frozen vegetables,* Between the plant site and warehouse facilities of Western Farmers Association at or near Milton-Freewater, Oregon and Walla Walla, Washington.

NOTE.—If a hearing is deemed necessary, applicant requests that it be held at Portland, Oregon. Applicant holds contract carrier authority in No. MC 136531 (Sub-Nos. 2, 5, and 6), therefore dual operations may be involved. By the instant application applicant seeks to convert its Permits in No. MC 136531 (Sub-Nos. 2, 5, and 6) to Certificates of Public Convenience and Necessity.

No. MC 138322 (Sub-No. 3) (Amendment), filed March 3, 1977, published in the FEDERAL REGISTER issue of April 28, 1977, republished as amended in the FEDERAL REGISTER issue of May 12, 1977, and republished as amended this issue. Applicant: BHY TRUCKING, INC., 9231 Whitmore, El Monte, Calif. 91733. Applicant's representative: John W. Carlisle, 4141 N. Braeswood, Suite 22, Houston, Tex. 77025. I. Authority sought to operate as a *common carrier,* by motor vehicle over irregular routes, transporting: *Rail and track material except cross-ties, and shipments which because of size or weight require special equipment,* within the following described geographical scope of proposed operations, except as to the restrictions and limitations imposed as to each state. Duplicating authority, if any, to be excluded from any grant of authority.

CALIFORNIA

1. Between points in California, on the one hand, and, on the other, points in the United States including Alaska, and including Hawaii, when such shipments move by trailer on "Piggy-back" by ship from points of embarkation to Hawaii, except: (1) Between points in California, on the one hand, and, on the other, points in Arizona, Colorado, Connecticut, Delaware, Illinois, Indiana, Iowa, Kentucky, Kansas, Maryland, Massachusetts, Michigan, Missouri, North Dakota, Nebraska, Nevada, New Jersey, New York, North Carolina, Ohio, Oregon, Pennsylvania, Rhode Island, South Dakota, Utah, Virginia, Washington, West Virginia, Wisconsin, Wyoming, and District of Columbia. (2) From points in California to points in Maine, New Hampshire, and Vermont.

TEXAS

1. Between points in Texas, on the one hand, and, on the other, points in the United States including Alaska, and including Hawaii, when such shipments move by trailer on "Piggy-back" by ship from points of embarkation to Hawaii, except: (1) Between points in Texas, on the one hand, and, on the other, points in Arkansas, Louisiana, New Mexico, Oklahoma, Texas, Kansas, and Mississippi. (2) From Corpus Christi, Galveston and Houston, Texas to points in Arkansas, Louisiana, New Mexico, Oklahoma, and Texas. (3) From Baytown, Texas to points in Arkansas, Louisiana, Kansas, New Mexico, Mississippi, and Oklahoma. (4) From Liberty County, Texas to points in Arkansas, Kansas, Louisiana, Mississippi, Missouri, New Mexico, and Oklahoma. (5) From the plant site of Chapperral Steel Corp. in Ellis County, Tex. to points in Arkansas, Colorado, Louisiana, Mississippi, New Mexico, Oklahoma, and Tennessee. (6) From Jewett, Tex. to points in the United States including Alaska.

UTAH

1. Between points in Utah, except Clearfield, Utah, on the one hand, and, on the other, points in the United States including Alaska, and including Hawaii, when such shipments move by trailer on "Piggy-back" by ship from points of embarkation to Hawaii, except: (1) Between points in Utah, on the one hand, and, on the other, points in California, Idaho, Montana, Washington, Oregon, Arizona, Colorado, New Mexico, Nevada, and Wyoming.

NEVADA

1. Between points in Nevada, on the one hand, and, on the other, points in the United States including Alaska, and including Hawaii, when such shipments move by trailer on "Piggy-back" by ship from points of embarkation to Hawaii, except: (1) Between points in Nevada, on the one hand, and, on the other, points in Utah, Montana, Wyoming, Arizona, Idaho, New Mexico, Colorado, Washington, and California.

ARIZONA

1. Between points in Arizona, on the one hand, and, on the other, points in the United States including Alaska, and including Hawaii, when such shipments move by trailer on "Piggy-back" by ship from points of embarkation to Hawaii, except: (1) Between points in Arizona, on, on the one hand, and, on the other, points in California, Idaho, Montana, New Mexico, Nebraska, Washington, Wyoming, Utah, Colorado, and Oregon.

WASHINGTON

1. Between points in Washington, on the one hand, and, on the other, points in the United States including Alaska, and including Hawaii, when such shipments move by trailer on "Piggy-back" by ship from points of embarkation to Hawaii, except: (1) Between points in Washington, on the one hand, and, on the other, points in Oregon, Idaho, Utah, Montana, Nevada, Wyoming, Mississippi, California, Arizona. (2) From points in Pierce County, Wash. to points in Alaska, Arizona, Arkansas, California, Colorado, Alabama, Florida, Georgia, Idaho, Illinois, Iowa, Kansas, Kentucky, Louisiana, Michigan, Minnesota, Montana, Nebraska, Nevada, New Mexico, Texas, Tennessee, Utah, Virginia, West Virginia, Washington, Wisconsin, Wyoming, Pennsylvania, Ohio, and North Carolina.

OREGON

1. Between points in Oregon, on the one hand, and, on the other, points in the United States including Alaska, and including Hawaii, when such shipments move by trailer on "Piggy-back" by ship from points of embarkation to Hawaii, except: (1) Between points in Oregon, on the one hand, and, on the other, points in Washington, Idaho, Montana, Utah, Nebraska, Wyoming, Colorado, New Mexico, Oklahoma, Texas, Mississippi, and California.

MONTANA

1. Between points in Montana, on the one hand, and, on the other, points in the United States including Alaska, and including Hawaii, when such shipments move by trailer on "Piggy-back" by ship from points of embarkation to Hawaii, except: (1) Between points in Montana, on the one hand, and, on the other, points in Idaho, Nevada, New Mexico, Wyoming, Arizona, Utah, Colorado, Oregon, Washington, and California.

IDAHO

1. Between points in Idaho, on the one hand, and, on the other, points in the United States including Alaska, and including Hawaii, when such shipments move by trailer on "Piggy-back" by ship from points of embarkation to Hawaii, except: (1) Between points in Idaho, on the one hand, and, on the other, points in Oregon, Washington, Montana, Wyoming, Utah, California, Arizona, New Mexico, Nevada, Colorado.

WYOMING

1. Between points in Wyoming, on the one hand, and, on the other, points in the United States including Alaska, and including Hawaii, when such shipments move by trailer on "Piggy-back" by ship from points of embarkation to Hawaii, except: (1) Between points in Wyoming, on the one hand, and, on the other, points in Arizona, Idaho, Montana, New Mexico, Nevada, Colorado, and Mississippi.

COLORADO

1. Between points in Colorado, on the one hand, and, on the other, points in the United States including Alaska, and including Hawaii, when shipments move by trailer on "Piggy-back" by ship from points of embarkation to Hawaii, except: (1) Between points in Colorado, on the one hand, and, on the other, points in Nevada, Idaho, Montana, Arizona, New Mexico, Wyoming, Utah, Washington, and Mississippi.

NEW MEXICO

1. Between points in New Mexico, on the one hand, and, on the other, points in the United States including Alaska, and including Hawaii, when shipments move by trailer on "Piggy-back" by ship from points of embarkation to Hawaii, except: (1) Between points in New Mexico, on the one hand, and, on the other, points in Colorado, Utah, Arizona, Idaho, Montana, Nevada, Wyoming, and Mississippi.

OKLAHOMA

1. Between points in Oklahoma, on the one hand, and, on the other, points in the United States including Alaska, and including Hawaii, when such shipments move by trailer on "Piggy-back" by ship from points of embarkation to Hawaii, except: (1) Between points in Oklahoma, on the one hand, and, on the other, points in Colorado, New Mexico, Texas, and Mississippi. (2) To points in Oklahoma from Corpus Christi, Houston, Galveston and Baytown, Tex. and Liberty County, Tex. (3) To points in Oklahoma from points in Arkansas. (4) To points in Oklahoma from Cabell and Wayne Counties, W. Va. (5) To points in Oklahoma from points in Tennessee. (6) From points in Oklahoma to points in Mississippi. (7) Between Oklahoma, on the one hand, and, on the other, Charlotte, N.C.

LOUISIANA

1. Between points in Louisiana, on the one hand, and, on the other, points in the United States including Alaska, and including Hawaii, when such shipments move by trailer on "Piggy-back" by ship from points of embarkation to Hawaii, except: (1) From Corpus Christi, Houston, Galveston, Baytown and Liberty County, Tex. (2) To points in Louisiana from points in Arkansas. (3) To points in Louisiana from points in Tennessee.

ARKANSAS

1. Between points in Arkansas, on the one hand, and, on the other, points in the United States including Alaska, and including Hawaii, when such shipments move by trailer on "Piggy-back" by ship from points of embarkation to Hawaii, except: (1) To Newport, Ark., from points in the United States. (2) To points in Arkansas from points in Missouri. (3) To points in Arkansas from Cabell and Wayne Counties, W. Va. (4) From Newport, Ark. to points in Louisiana, Oklahoma and Texas. (5) To points in Arkansas from Corpus Christi, Houston, Galveston, Baytown and Liberty County, Tex. (6) To points in Arkansas from points in Alabama. (7) To points in Arkansas from Louisville, Ky. and that part of Indiana in the Louisville, Ky. Commercial Zone. (8) To Newport, Ark. from points in the United States.

MISSISSIPPI

1. Between points in Mississippi, on the one hand, and, on the other, points in the United States including Alaska, and including Hawaii, when such shipments move by trailer on "Piggy-back" by ship from points of embarkation to Hawaii, except: (1) Between points in Mississippi, on the one hand, and, on the other, points in Pennsylvania, New York, North Carolina, South Carolina, and Illinois. (2) From points in Colorado, New Mexico, Oklahoma, Oregon, Texas, Washington, and Wyoming to Mississippi. (3) To points in Mississippi from points in Georgia. (4) From points in Mississippi to points in Missouri and Kentucky. (5) From Newport, Ark. to points in Mississippi. (6) From Louisville, Ky. and Liberty County, Tex. to Mississippi. (7) From points in Mississippi to points in Missouri, and Kentucky (excluding Louisville).

ILLINOIS

1. Between points in Illinois, on the one hand, and, on the other, points in the United States including Alaska, and including Hawaii, when such shipments move by trailer on "Piggy-back" by ship from points of embarkation to Hawaii, except: (1) Between points in Illinois and Charlotte, N.C. (2) From the plant site of Jones & Loughlin Steel Corp. located in Putnam County, Ill. to points in Alabama, Arkansas, Florida, Georgia, Missouri, Mississippi, Kentucky, Tennessee, Wyoming, Colorado, Utah, Montana, Idaho, Iowa, Indiana, Ohio, Wisconsin, North Dakota, South Dakota, Nebraska, Kansas, Louisiana, Oklahoma, and Texas and vice versa. (3) From Walta, Ill. to points in Colorado, Wyoming, Montana, Utah, Idaho, Nevada, California, and Washington. (4) From Bedford Park, Ill. to Colorado, Montana, Idaho, Nevada, California, and Washington. (5) From Granite City, Ill. to points in Wyoming and Montana. (6) From the plant site of C.F. & I. Steel Corp. located at Pueblo, Colo. to points in Illinois, Idaho, Montana and Washington. (7) From Chicago, Ill. to points in Montana, Wyoming, Utah, Idaho, Washington, and Oregon. (8) Between the plant site of Chicago Bridge & Iron Co. located at Indian Oaks, Ill., on the one hand, and on the other, points in Indiana, Michigan, Ohio, Wisconsin, Kentucky, Minnesota, Iowa, North Dakota, South Dakota, Nebraska, Wyoming, Colorado, Utah, Idaho, Nevada, Washington, Oregon, and California. (9) From points in Illinois to points in Georgia and Tennessee. (10) Between points in Illinois, on the one hand, and, on the other, points in Connecticut, Delaware, Maryland, New Jersey, New York, Pennsylvania, Massachusetts, and Rhode Island.

INDIANA

1. Between points in Indiana, on the one hand, and, on the other, points in the United States including Alaska, and including Hawaii, when such shipments move by trailer on "Piggy-back" by ship from points of embarkation to Hawaii, except: (1) From Indiana to Charlotte, N.C. (2) From the plant site of Bethlehem Steel Corp. located at Burns Harbor, Porter County, Ind. to points in Michigan, Illinois, Wisconsin, Ohio, Kentucky, Tennessee, West Virginia, Pennsylvania, New York, and New Jersey. (3) From the plant site of Penn-Dixie Steel Corp. located at or near Kokomo, Ind. to points in Kentucky, Maryland, Michigan, New Jersey, New York, Ohio, Pennsylvania, Virginia, West Virginia, and District of Columbia. (4) From points in Indiana to Charlotte, N.C. (5) From the plant site of Mid West Steel, a Division of National Steel Corp. at Portage, Ind. to points in Illinois, Iowa, Minnesota, Missouri, Nebraska, and Wisconsin.

IOWA

1. Between points in Iowa, on the one hand, and, on the other, points in the United States, including Alaska, and including Hawaii, when such shipments move by trailer on "Piggy-back" by ship from points of embarkation to Hawaii, except: (1) From points in Iowa to Charlotte, N.C. and vice versa. (2) From Walton, Iowa to points in Arizona, California, Utah, Minnesota, Oklahoma, Nebraska and Texas.

KENTUCKY

1. Between points in Kentucky, on the one hand, and, one the other, points in the United States, including Alaska, and including Hawaii, when such shipments move by trailer on "Piggy-back" by ship from points of embarkation to Hawaii, except: (1) From Eminece, Ky. to points in Alabama, Arkansas, Georgia, Illinois, Indiana, Louisiana, Michigan, Mississippi, Missouri, Ohio and Tennessee. (2) From points in Shelby County, Ky. to points in Alabama, Arkansas, Georgia, Illinois, Indiana, Iowa, Louisiana, Michigan, Minnesota, Mississippi, Missouri, Ohio, Pennsylvania, Tennessee, West Virginia, and Wisconsin. (3) From Newport and Wilder, Ky. to points in Iowa, Kansas, Minnesota, Missouri, Nebraska, North Dakota, South Dakota and Illinois.

MINNESOTA

1. Between points in Minnesota, on the one hand, and, on the other, points in the United States, including Alaska, and including Hawaii, when such shipments move by trailer on "Piggy-back" by ship from points of embarkation to Hawaii, except: (1) From Newport, Minn. to points in the United States. (2) From Minneapolis, Minn. to points in Idaho, Montana, Utah, Washington, and Wyoming.

MICHIGAN

1. Between points in Michigan on the one hand, and, on the other, points in the United States, including Alaska, and including Hawaii, when such shipments move by trailer on "Piggy-back" by ship from points of embarkation to Hawaii, except: (1) From Michigan to Charlotte, N.C. and vice versa. (2) From points in Oakland and Wayne Counties, Mich., to points in Tennessee. (3) From the plant site of Szarka Enterprises, Inc. in Wayne County, Mich. to points in the United States excluding Alaska. (4) From Escanaba, Mich. to points in Idaho, Oregon and Washington.

MISSOURI

1. Between points in Missouri, on the one hand, and, on the other, points in

the United States, including Alaska, and including Hawaii, when such shipments move by trailer on "Piggy-back" by ship from points of embarkation to Hawaii, except: (1) From Kansas City, Mo. to points in Washington, Oregon, Idaho, Montana, Wyoming, Utah and Beatrice, Nebr.

NEBRASKA

1. Between points in Nebraska, on the one hand, and, on the other, points in the United States, including Alaska, and including Hawaii, when shipments move by trailer on "Piggy-back" by ship from points of embarkation to Hawaii.

NORTH DAKOTA

1. Between points in North Dakota, on the one hand, and, on the other, points in the United States, including Alaska, and including Hawaii, when such shipments move by trailer on "Piggy-back" by ship from points of embarkation to Hawaii.

1. Between points in Ohio, on the one hand, and, on the other, points in the United States, including Alaska, and including Hawaii, when such shipments move by trailer on "Piggy-back" by ship from points of embarkation to Hawaii, except: (1) From Hicksville, Ohio to points in Iowa, Missouri, Tennessee and Minnesota. (2) Between points in Franklin County, Ohio, on the one hand, and, on the other, points in Kentucky, West Virginia, Indiana, Michigan and Pennsylvania. (3) From Warren, Ohio to points in Nebraska, Iowa, Minnesota, Missouri. (excluding points in St. Louis County), North Dakota and South Dakota (4) From Martins Ferry, Ohio to points in Florida and Tennessee. (5) From Ohio to Charlotte, N.C. and vice versa. (6) Between points in Ohio, on the one hand, and, on the other, points in Connecticut, Delaware, Maryland, New Jersey, New York, Pennsylvania, Massachusetts and Rhode Island.

SOUTH DAKOTA

1. Between points in South Dakota, on the one hand, and, on the other, points in the United States, including Alaska, and including Hawaii, when such shipments move by trailer on "Piggy-back" by ship from points of embarkation to Hawaii.

TENNESSEE

1. Between points in Tennessee, on the one hand, and, on the other, points in the United States, including Alaska, and including Hawaii, when such shipments move by trailer on "piggy-back" by ship from points of embarkation ot Hawaii, except: (1) From the plant site of Tennessee Forging Steel Corp. near Harriman, Tenn. to points in Alabama, Arkansas, Florida, Georgia, Ohio, Illinois, Indiana, Kentucky, Maryland, Mississippi, Missouri, North Carolina, Pennsylvania, South Carolina, Virginia, West Virginia, and East of Mississippi River. (2) From Nashville, Tenn. to points in Alabama, Georgia, Louisiana, Mississippi, North Carolina, South Carolina, Tennessee, and Texas (3) Between Memphis, Tenn., on the other hand, and, on the other, points in Pennsylvania, Maryland, and New York, (4) From Memphis, Tenn. to points in Maine, New Hampshire, Vermont, Massachusetts, Rhode Island, New Jersey, Delaware, and Connecticut. (5) From points in Tennessee to points in Oklahoma.

WISCONSIN

1. Between points in Wisconsin, on the one hand, and, on the other, points in the United States, including Alaska, and including Hawaii, when such shipments move by trailer on "Piggy-back" by ship from points of embarkation to Hawaii, except: (1) From Wisconsin to Charlotte, N.C. (2) From plant site of Paper Calmenson Co. at Superior, Wis. to points in North Dakota, South Dakota, Montana, and Wyoming. (3) From points in Milwaukee County, Wis. to points in Connecticut, Delaware, Illinois, (excluding Chicago), Indiana, (excluding Chicago and Commercial Zone), Kentucky, Maine, Maryland, Massachusetts, Michigan, Missouri, New Hampshire, New York, Ohio, Pennsylvania, Rhode Island, Tennessee, Vermont, Virginia, West Virginia. (4) Between points in Wisconsin, on the one hand, and, on the other, points in Idaho, Oregon, and Washington.

ALABAMA

1. Between points in Alabama, on the one hand, and, on the other, points in the United States, including Alaska, and including Hawaii, when such shipments move by trailer on "Piggy-back" by ship from points of embarkation to Hawaii, except: (1) From Birmingham, Ala. and points within 10 miles thereof to points and places in Texas and Virginia. (2) To Alabama from points in Brooke and Marshall Counties, W. Va. (3) From Birmingham and Gadsden, Ala. to points in Maine, New Hampshire, Vermont, Massachusetts, Rhode Island, Connecticut, New York, New Jersey, Pennsylvania, Delaware, Maryland. (4) From points in Alabama (excluding Gadsden) to points in North Carolina and South Carolina.

GEORGIA

1. Between points in Georgia, on the one hand, and, on the other, points in the United States, including Alaska, and including Hawaii, when such shipments move by trailer on "Piggy-back" by ship from points of embarkation to Hawaii, except: (1) To Georgia from Brooke and Marshall Counties, W. Va. (2) From points in Georgia to points in Mississippi. (3) From points in Georgia to points in Tennessee.

KANSAS

1. Between points in Kansas, on the one hand, and, on the other, points in the United States, including Alaska, and including Hawaii, when such shipments move by trailer on "Piggy-back" by ship from points of embarkation to Hawaii, except: (1) Between points in Kansas, on the one hand, and, on the other Charlotte, N.C. (2) From Kansas City, Kan. and commercial zone to Beatrice, Nebr.

MARYLAND

1. Between points in Maryland, on the one hand, and, on the other, points in the United States, including Alaska, and including Hawaii, when such shipments move by trailer on "Piggy-back" by ship from points of embarkation to Hawaii, except: (1) From points in Maryland to points in Alabama.

NORTH CAROLINA

1. Between points in North Carolina, on the one hand, and, on the other, points in the United States, including Alaska, and including Hawaii, when such shipments move by trailer on "Piggy-back" by ship from points of embarkation to Hawaii, except: (1) Between Charlotte, N.C., on the one hand, and on the other, points in Illinois, Indiana, Iowa, Kansas, Michigan, New Jersey, New York, Ohio, Oklahoma, Pennsylvania, and Wisconsin and vice versa. (2) From points in North Carolina to points in Alabama. (3) Between points in North Carolina and points in Mississippi, South Carolina, Florida, Georgia, Connecticut, Delaware, District of Columbia, Illinois, Indiana, Maryland, Massachusetts, New Jersey, New York, Ohio, Pennsylvania, Rhode Island, Virginia, West Virginia, and Wisconsin.

NEW JERSEY

1. Between points in New Jersey, on the one hand, and, on the other, points in the United States, including Alaska, and including Hawaii, when such shipments move by trailer on "Piggy-back" by ship from points of embarkation to Hawaii, except: (1) Between points in New Jersey, on the one hand, and, on the other Charlotte, N.C. (2) Between Bridgeton, N.J. and points in Louisiana and Texas. (3) Between points in New Jersey, on the one hand, and, on the other, points in Florida, South Carolina, North Carolina, and Alabama.

FLORIDA

1. Between points in Florida, on the one hand, and, on the other, points in the United States, including Alaska, and including Hawaii, when such shipments move by trailer on "Piggy-back" by ship from points of embarkation to Hawaii, except: (1) Between points in Florida, on the one hand, and, on the other points in North Carolina, South Carolina, Georgia, Connecticut, Delaware, District of Columbia, Illinois, Indiana, Maryland, Massachusetts, New Jersey, New York, Ohio, Pennsylvania, Rhode Island, Virginia, West Virginia, and Wisconsin.

II. Authority sought to operate as a *common carrier*, by motor vehicle over irregular routes, transporting: *Rail and track material except cross-ties*, within the following described geographical scope of proposed operations, except as to the restrictions and limitations imposed as to each state. Duplicating authority, if any, to be excluded from any grant of authority.

1. Between California, on the one hand, on the other, Nevada and Maine.

2. Between Florida, on the one hand, and on the other, Nevada.

3. Between Idaho, on the one hand, and, on the other, Nevada and Maine.

4. Between Indiana, on the one hand, and, on the other, Vermont, New Hampshire and Maine.

5. Between Kansas, on the one hand, and, on the other, Arkansas and Maine.

6. Between Kentucky, on the one hand, and, on the other, Wyoming and Maine.

7. Between Louisiana, on the one hand, and, on the other, Minnesota.

8. Between Maryland, on the one hand, and, on the other, Tennessee, North Carolina, West Virginia, Vermont, and Maine.

9. Between Michigan, on the one hand, and, on the other, North Carolina, South Carolina, West Virginia, Vermont and Maine.

10. Between Minnesota, on the one hand, and, on the other, Montana, North Dakota, South Dakota, and Maine.

11. Between Mississippi, on the one hand, and, on the other, Nevada.

12. Between Missouri, on the one hand, and, on the other, Florida.

13. Between Montana, on the one hand, and, on the other, Nevada, Minnesota, and Maine.

14. Between Nebraska, on the one hand, and, on the other, Florida.

15. Between New Mexico, on the one hand, and, on the other, Nevada, and Maine.

16. Between New York, on the one hand, and, on the other, Nevada, Tennessee, North Carolina, South Carolina and Vermont.

17. Between North Carolina, on the one hand, and, on the other, Idaho and South Dakota.

18. Between North Dakota, on the one hand, and, on the other, Minnesota, Wisconsin, and Maine.

19. Between Ohio, on the one hand, and, on the other, Nevada, Vermont and Maine.

20. Between Oregon, on the one hand, and, on the other, Nevada.

21. Between South Dakota, on the one hand, and, on the other, Minnesota, and Maine.

22. Between Tennessee, on the one hand, and, on the other, Nevada, and Massachusetts.

23. Between Utah, on the one hand, and, on the other, Maine.

24. Between Virginia, on the one hand, and, on the other, Iowa, Missouri, Wisconsin, New Hampshire, Massachusetts, Connecticut, and Maine.

25. Between Washington, on the one hand, and, on the other, Nevada.

26. Between West Virginia, on the one hand, and, on the other, Nevada, North Dakota, South Dakota, Missouri, Iowa, Minnesota, Wisconsin, Illinois, North Carolina, South Carolina, New York, Vermont, New Mexico, Massachusetts, Connecticut, Rhode Island, Wyoming, and Maine.

27. Between Wisconsin, on the one hand, and, on the other, Idaho, North Dakota, South Dakota, Wisconsin, Ohio and Maine.

28. Between Wyoming, on the one hand, and on the other, Nevada.

III. Authority sought to operate as a *common carrier*, by motor vehicle over irregular routes, transporting: *Railroad Cross Ties, creosoted or treated*, within the following described geographical scope of proposed operations.

1. Between points and places in California, Arizona, Nevada, Utah, Oregon, Washington, Montana, Wyoming, Idaho, North Dakota, South Dakota, Minnesota, Iowa, Florida, Georgia, North Carolina, South Carolina, Virginia, Michigan, Wisconsin, Delaware, New York, New Jersey, Rhode Island, Connecticut, New Hampshire, Massachusetts, Vermont, and Maine, except as to the restrictions or exceptions as to each state.

2. Between points and places in California, on the one hand, and, on the other points and places in the United States including Alaska except as set forth in (1) above.

3. Between points and places in Arizona, on the one hand, and, on the other, points and places in the United States including Alaska except: (1) Between points and places in Arizona, on the one hand, on the other, points and places in Alabama, Arkansas, Colorado, Illinois, Indiana, Iowa, Kansas, Kentucky, Louisiana, Mississippi, Missouri, Nebraska, New Mexico, Ohio, Oklahoma, Pennsylvania, Tennessee, Texas, and West Virginia.

4. Between points and places in New Mexico, on the one hand, and, on the other, points and places in the United States including Alaska, except: (1) Between points and places in New Mexico, on the one hand, and, on the other, points and places in Alabama, Arkansas, Colorado, Illinois, Indiana, Iowa, Kansas, Kentucky, Louisiana, Mississippi, Missouri, Nebraska, Ohio, Oklahoma, Pennsylvania, Tennessee, Texas, and West Virginia and Arizona.

5. Between points and places in Colorado, on the one hand, and on the other, points and places in the United States including Alaska, except: (1) Between points and places in Colorado, on the one hand, and, on the other, points and places in Alabama, Arkansas, Illinois, Indiana, Iowa, Kansas, Kentucky, Louisiana, Mississippi, Missouri, Nebraska, Ohio, New Mexico, Oklahoma, Pennsylvania, Tennessee, Texas, and West Virginia and Arizona.

6. Between points and places in Illinois, on the one hand, and, on the other, points and places in the United States including Alaska, except: (1) Between points and places in Illinois, on the one hand, and, on the other, points and places in Arkansas, Alabama, Arizona, Colorado, Indiana, Iowa, Kansas, Kentucky, Louisiana, Mississippi, Missouri, Nebraska, New Mexico, Ohio, Oklahoma, Pennsylvania, Tennessee, Texas and West Virginia.

7. Between points and places in Indiana, on the one hand, and, on the other, points and places in the United States including Alaska, except: (1) Between points and places in Indiana, on the one hand, and, on the other, points and places in the United States including Alaska, except: (1) Between points and places in Indiana, on the one hand, and, on the other, points and places in Alabama, Arkansas, Arizona, Colorado, Illinois, Iowa, Kansas, Kentucky, Louisiana, Mississippi, Missouri, Nebraska, New Mexico, Ohio, Oklahoma, Pennsylvania, Tennessee, Texas, and West Virginia.

8. Between points and places in Iowa, on the one hand, and, on the other, points and places in the United States including Alaska, except: (1) Between points and places in Iowa, on the one hand, and, on the other, points and places in Alabama, Arkansas, Arizona, Colorado, Illinois, Indiana, Kansas, Kentucky, Louisiana, Mississippi, Missouri, Nebraska, New Mexico, Ohio, Oklahoma, Pennsylvania, Tennessee, Texas, and West Virginia.

9. Between points and places in Kansas, on the one hand, and, on the other, points and places in the United States including Alaska, except: (1) Between points and places in Kansas, on the one hand, and, on the other, points and places in Alabama, Arkansas, Arizona, Colorado, Illinois, Indiana, Pennsylvania, Iowa, Kentucky, Louisiana, Mississippi, Missouri, Nebraska, New Mexico, Ohio, Oklahoma, Tennessee, Texas, and West Virginia.

10. Between points and places in Kentucky, on the one hand, and, on the other, points and places in the United States including Alaska, except: (1) Between points and places in Kentucky, on the one hand, and, on the other, points and places in Alabama, Arkansas, Arizona, Colorado, Illinois, Indiana, Iowa, Kansas, Louisiana, Mississippi, Missouri, Nebraska, New Mexico, Ohio, Oklahoma, Tennessee, Texas, and West Virginia and Pennsylvania.

11. Between points and places in Nebraska, on the one hand, and, on the other, points and places in the United States including Alaska, except: (1) Between points and places in Nebraska, on the one hand, and, on the other, points and places in Alabama, Arkansas, Arizona, Colorado, Illinois, Indiana, Iowa, Kansas, Louisiana, Kentucky, Mississippi, Missouri, New Mexico, Ohio, Oklahoma, Tennessee, Texas, and West Virginia and Pennsylvania.

12. Between points and places in Ohio, on the one hand, and, on the other, points and places in the United States including Alaska, except: (1) Between points and places in Ohio, on the one hand, and, on the other, points and places in Alabama, Arkansas, Arizona, Colorado, Illinois, Indiana, Iowa, Kansas, Kentucky, Louisiana, Mississippi, Missouri, New Mexico, Oklahoma, Tennessee, Texas, and West Virginia and Pennsylvania.

13. Between points and places in Pennsylvania, on the one hand, and, on the other, points and places in the United States including Alaska, except: (1) Between points and places in Pennsylvania, on the one hand, and, on the other, points and places in Alabama, Arkansas, Arizona, Colorado, Illinois, Indiana, Iowa, Kansas, Kentucky, Louisiana, Mississippi, Missouri, New Mexico, Ohio, Oklahoma, Tennessee, Texas and West Virginia.

14. Between points and places in Texas, on the one hand, and, on the other,

points and places in the United States including Alaska, except: (1) Between points and places in Texas, on the one hand, and, on the other, points and places in Alabama, Arkansas, Arizona, Colorado, Illinois, Indiana, Iowa, Kansas, Kentucky, Louisiana, Mississippi, Missouri, Nebraska, New Mexico, Ohio, Oklahoma, Pennsylvania and Tennessee. (2) From Beaumont and Texarkana, Texas-Arkansas to Connecticut, Delaware, Maine, Maryland, Massachusetts, New Hampshire, Rhode Island, New Jersey, New York, Vermont, and District of Columbia.

15. Between points and places in Arkansas, on the one hand, and, on the other, points and places in the United States including Alaska, except: (1) Between points and places in Arkansas, on the one hand, and, on the other, points and places in Alabama, Arizona, Colorado, Illinois, Indiana, Iowa, Kansas, Kentucky, Louisiana, Mississippi, Missouri, Nebraska, New Mexico, Ohio, Oklahoma, Pennsylvania, Tennessee and Texas.

16. Between points and places in Alabama, on the one hand, and, on the other, points and places in the United States including Alaska, except: (1) Between points and places in Alabama, on the one hand, and, on the other, points and places in Arkansas, Arizona, Colorado, Illinois, Indiana, Iowa, Kansas, Kentucky, Louisiana, Mississippi, Missouri, Nebraska, New Mexico, Ohio, Oklahoma, Pennsylvania, Tennessee, and Texas. (2) From Alabama to Indiana, Kansas, Kentucky, Louisiana, Oklahoma, and Texas.

17. Between points and places in Mississippi, on the one hand, and, on the other, points and places in the United States including Alaska, except: (1) Between points and places in Mississippi, on the one hand, and, on the other points and places in Arkansas, Alabama, Arizona, Colorado, Illinois, Indiana, Iowa, Kansas, Kentucky, Louisiana, Missouri, Nebraska, New Mexico, Ohio, Oklahoma, Pennsylvania, Tennessee, and Texas. (2) From Columbus and Meridian, Mississippi to Connecticut, Delaware, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, New York, Rhode Island, Vermont, and District of Columbia.

18. Between points and places in Florida, on the one hand, and, on the other, points and places in the United States including Alaska.

19. Between points and places in North Carolina, on the one hand, and, on the other points and places in the United States including Alaska.

20. Between points and places in South Carolina, on the one hand, and, on the other points and places in the United States including Alaska.

21. Between points and places in Georgia, on the one hand, and, on the other, points and places in the United States including Alaska.

22. Between points and places in Virginia, on the one hand, and, on the other, points and places in the United States including Alaska.

23. Between points and places in West Virginia, on the one hand, and, on the other, points and places in the United States including Alaska.

24. Between points and places in Maryland, on the one hand, and, on the other, points and places in the United States including Alaska.

25. Between points and places in Wisconsin, on the one hand, and, on the other, points and places in the United States including Alaska.

26. Between points and places in New York, on the one hand, and, on the other, points and places in the United States including Alaska, except: (1) To points and places in New York from Columbus and Meridian, Miss.

27. Between points and places in New Jersey, on the one hand, and, on the other points and places in the United States including Alaska, except: (1) To points and places in New Jersey from Columbus and Meridian, Miss.

28. Between points and places in Rhode Island, on the one hand, and, on the other, points and places in the United States including Alaska, except: (1) To points and places in Rhode Island, from Columbus and Meridian, Miss.

29. Between points and places in Maine, on the one hand, and on the other, points and places in the United States including Alaska, except: (1) To points and places in Maine from Columbus and Meridian, Miss.

30. Between points and places in Massachusetts, on the one hand, and, on the other, points and places in the United States including Alaska, except: (1) To points and places in Massachusetts from Columbus and Meridian, Miss.

31. Between points and places in New Hampshire, on the one hand, and, on the other, points and places in the United States including Alaska, except: (1) To points and places in New Hampshire from Columbus and Meridian, Miss.

32. Between points and places in Vermont, on the one hand, and, on the other, points and places in the United States including Alaska, except: (1) To points and places in Vermont from Columbus and Meridian, Miss.

33. Between points and places in District of Columbia, on the one hand, and, on the other, points and places in the United States including Alaska, except: (1) To points and places in District of Columbia from Columbus and Meridian, Miss.

34. Between points and places in Connecticut, on the one hand, and, on the other, points and places in the United States including Alaska, except: (1) To points in Connecticut from Columbus and Meridian, Miss.

35. Between points and places in Delaware, on the one hand, and, on the other, points and places in the United States including Alaska, except: (1) To points in Delaware from Columbus and Meridian, Miss.

36. Between points and places in Idaho, on the one hand, and, on the other, points and places in the United States including Alaska.

37. Between points and places in Michigan, on the one hand, and, on the other, points and places in the United States including Alaska.

38. Between points and places in Minnesota, on the one hand, and, on the other, points and places in the United States including Alaska.

39. Between points and places in Nevada, on the one hand, and, on the other, points and places in the United States including Alaska.

40. Between points and places in North Dakota, on the one hand, and, on the other, points and places in the United States including Alaska.

41. Between points and places in Oregon, on the one hand, and, on the other, points and places in the United States including Alaska.

42. Between points and places in South Dakota, on the one hand, and, on the other, points and places in the United States including Alaska.

43. Between points and places in Utah, on the one hand, and, on the other, points and places in the United States including Alaska.

44. Between points and places in Washington, on the one hand, and, on the other, points and places in the United States including Alaska.

45. Between points and places in Wyoming, on the one hand, and, on the other, points and places in the United States including Alaska.

46. Between points and places in Alaska, on the one hand, and, on the other, points and places in the United States.

47. Between points and places in Louisiana, on the one hand, and, on the other, points and places in the United States including Alaska except as otherwise restricted herein.

48. Between points and places in Missouri, on the one hand, and, on the other, points and places in the United States including Alaska except as otherwise restricted herein.

49. Between points and places in Oklahoma, on the one hand, and, on the other, points and places in the United States including Alaska except as otherwise restricted herein.

50. Between points and places in Tennessee, on the one hand, and, on the other, points and places in the United States including Alaska except as otherwise restricted herein.

NOTE.—The purpose of this republication is to amend applicant's request for authority. If a hearing is deemed necessary, the applicant requests that it be held on a consolidated record with other similar applications at Los Angeles, Calif.

No. MC 138512 (Sub-No. 21), filed Auguest 19, 1977. Applicant: ROLAND'S TRANSPORTATION SERVICES, INC., dba. Wisconsin Provisions Express, 9525 South 60th Street, Franklin, Wis. 53132. Applicant's representative: Richard C. Alexander, Suite 412, Empire Building, 710 North Plankinton Avenue, Milwaukee, Wis. 53203. Authority sought to operate as a *contract carrier*, by motor vehicle, over irregular routes, transporting: *Taco corn products, seasonings, and sauces*, from Stoughton, Wis., to storage

facilities utilized by Grocery Products Group, Hueblein, Inc., located at or near Birmingham, Ala., Oxnard, Calif., Denver, Colo., Hartford, Conn., Jacksonville, Miami, and Tampa, Fla., Atlanta, Ga., Chicago, Ill., Indianapolis, Ind., Davenport and Des Moines, Iowa, Kansas City, Kans., Louisville, Ky., New Orleans, La., Everett, Mass., Detroit and Grand Rapids, Mich., Minneapolis, Minn., St. Louis, Mo., Omaha, Nebr., Teterboro, N.J., Buffalo, Rochester, and Syracuse, N.Y., Charlotte and Raleigh, N.C., Cincinnati, Cleveland, Columbus, and Toledo, Ohio, Oklahoma City, Okla., Hanover and Pittsburgh, Pa., Memphis and Nashville, Tenn., Dallas, Houston, and San Antonio, Tex., and Milwaukee, Wis., under a continuing contract or contracts with Grocery Products Group, Heublein, Inc.

NOTE.—If a hearing is deemed necessary, applicant requests it be held at Chicago, Ill.

No. MC 138875 (Sub-No. 58), filed August 15, 1977. Applicant: SHOEMAKER TRUCKING CO., 11900 Franklin Road, Boise, Idaho 83705. Applicant's representative: F. L. Sigloh, 11900 Franklin Road, Boise, Idaho 83705. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: (1) *Wines;* (2) *advertising materials, racks, and supplies* related to (1) above, from Chicago, Ill., to points in Idaho and Oregon, restricted in (1) and (2) above, against the transportation of products in bulk and further restricted to movements in temperature controlled vehicles.

NOTE.—If a hearing is deemed necessary, Applicant requests that it be held at either Boise, Idaho, or Portland, Oreg.

No. MC 139206 (Sub-No. 3), filed August 16, 1977. Applicant: F.M.S. TRANSPORTATION, INC., Box 1597, 2564 Harley Drive, Maryland Heights, Mo. 64043. Applicant's representative: E. STEPHEN HEISLEY, 666 Eleventh Street NW., Washington, D.C. 20001. Authority sought by applicant to operate as a *contract carrier* by motor vehicle, over irregular routes, transporting: *Textiles and textile products, chemicals, and materials, equipment, and supplies* used in the sale, manufacture, processing, production, and distribution of textiles and textile products and chemicals (except commodities in bulk), between St. Louis, Mo., on the one hand, and, on the other, points in the United States (except Alaska and Hawaii). Restriction: The authority granted herein is limited to a transportation service to be performed under a continuing contract or contracts with Chromalloy American Corp.

NOTE.—(1) Applicant states that it already holds contract carrier authority in No. MC 139206 to transport the identical commodities between Laredo, Brenham, Houston, and Arlington, Tex., Wellsville, Mo., and Johnson City, Tenn., on the one hand, and, on the other, points in the United States (except Alaska and Hawaii). Applicant states that it is a commonly controlled contract carrier for and on behalf of Chromalloy American Corp. and that the purpose of this application is to extend its operations for its commonly controlled contracting shipper. If a hearing is deemed necessary, applicant requests it be held at St. Louis, Mo.

No. MC 139206 (Sub-No. 4), filed August 23, 1977. Applicant: F.M.S. TRANSPORTATION, INC., Box 1597, 2564 Harley Drive, Maryland Heights, Mo. 64043. Applicant's representative: E. Stephen Heisley, Suite 805, 666 Eleventh Street NW., Washington, D.C. 20001. Authority sought by applicant to operate as a *contract carrier*, by motor vehicle, over irregular routes, transporting: *Textiles and textile products, chemicals, and materials, equipment, and supplies* used in the sale, manufacture, processing, production, and distribution of textiles and textile products and chemicals (except commodities in bulk), between Pensacola, Fla., and Charleston, Tenn., on the one hand, and, on the other, points in the United States (except Alaska and Hawaii). Restriction: The authority granted herein is limited to a transportation service to be performed under a continuing contract or contracts with Chromalloy American Corp.

NOTE.—(1) Applicant states that it already holds contract carrier authority in No. MC 139206 to transport the identical commodities between Laredo, Brenham, Houston, and Arlington, Tex., Wellsville, Mo., and Johnson City, Tenn., on the one hand, and, on the other, points in the United States (except Alaska and Hawaii). Applicant states that it is a commonly controlled contract carrier for and on behalf of Chromalloy American Corp. and that the purpose of this application is to extend its operations for its commonly controlled contracting shipper. If a hearing is deemed necessary, applicant requests it be held at St. Louis, Mo.

No. MC 139420 (Sub-No. 19), filed August 22, 1977. Applicant: ART GREENBERG, doing business as Glacier Transport, P.O. Box 428, Grand Forks, N. Dak. 58201. Applicant's representative: James B. Hovland, P.O. Box 1637, 414 Gate City Building, Fargo, N. Dak. 58102. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Matches and woodenware*, from the facilities of Diamond International Corp., located at or near Cloquet, Minn., to Reno, Nev.; Phoenix, Ariz.; Denver, Colo.; Salt Lake City, Utah; Milwaukie, Oreg.; and points in California.

NOTE.—If a hearing is deemed necessary, the applicant requests that it be held at either Minneapolis, Minn., or Chicago, Ill.

No. MC 139495 (Sub-No. 261), filed August 19, 1977. Applicant: NATIONAL CARRIERS, INC., 1501 East 8th Street, P.O. Box 1358, Liberal, Kans. 67901. Applicant's representative: Herbert Alan Dubin, Suite 1000, 1819 H Street NW., Washington, D.C. 20006. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *New furniture*, from Rome, Ga., to Arkansas, Iowa, Kansas, Louisiana, Minnesota, Missouri, Nebraska, North Dakota, Oklahoma, South Dakota, and Texas.

NOTE.—Applicant holds contract carrier authority in No. MC 133106 and other subs thereunder, therefore, dual operations may be involved. If a hearing is deemed necessary, applicant requests it be held at Washington, D.C.

No. MC 140033 (Sub-No. 30), filed August 19, 1977. Applicant: COX REFRIGERATED EXPRESS, INC., 10606 Goodnight Lane, Dallas, Tex. 75220. Applicant's representative: D. Paul Stafford, Suite 1125 Exchange Park, P.O. Box 45538, Dallas, Tex. 75245. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *meat, meat products, meat byproducts,* and *articles* distributed by meat packing houses, as described in sections A and C of Appendix I to the report in Descriptions in Motor Carrier Certificates, 61 M.C.C. 209 and 766 (except hides, and commodities in bulk, in tank vehicles), from Brownwood, Tex., to points in Alabama.

NOTE.—Applicant has motor contract carrier authority pending in No. MC 142296, therefore, dual operations may be involved. If a hearing is deemed necessary, the applicant requests that it be held at Dallas, Texas or Chicago, Ill.

No. MC 140176 (Sub-No. 8), filed August 4, 1977. Applicant: RILEY WAYNE POWELL d/b/a POWELL TRUCKING COMPANY, Route 3, Box 13, Sumrall, Miss. 39482. Applicant's representative: Fred W. Johnson, Jr., 1500 Deposit Guaranty Plaza, P.O. Box 22628, Jackson, Miss. 39205. Authority sought to operate as a *contract carrier*, by motor vehicle, over irregular routes, transporting: *posts, poles, piling,* treated or untreated, from the facilities of Crown Zellerbach Corp., at Gulfport, Miss., and Mobile, Ala., to points in Arkansas, Florida, Illinois, Indiana, Iowa, Kansas, Kentucky, Louisiana, Michigan, Minnesota, Missouri, Nebraska, Ohio, Pennsylvania, Tennessee, and Wisconsin under a continuing contract or contracts with Crown Zellerbach Corp.

NOTE.—If a hearing is deemed necessary, applicant requests that it be held at Jackson, Miss., or New Orleans, La.

No. MC 140267 (Sub-No. 5), filed August 24, 1977. Applicant: R. A. TRANSPORTATION, INC., 115 Jacabus Ave., South Kearney, N.J. 07032. Applicant's representative: George A. Olsen, 69 Tonnele Ave., Jersey City, N.J. 07306. Authority sought to operate as a *contract carrier*, over irregular routes, transporting: Such merchandise as is dealt in by wholesale, retail, chain grocery, department stores and food business houses, and in connection therewith, equipment, materials and supplies used in the conduct of such business (except commodities in bulk), from Baltimore, Md. to Points in New York, under a continuing contract or contracts with Lever Brothers Co., New York, N.Y.

NOTE.—If a hearing is deemed necessary, applicant requests that it be held at New York, N.Y., or Washington, D.C.

No. MC 140389 (Sub-No. 18), filed August 23, 1977. Applicant: OSBORN TRANSPORTATION, INC., P.O. Box

1830, Highway 77, Gadsden, Ala. 35902. Applicant's representative: Larry Smith (same address as applicant). Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Meat, Meat Products, Meat By-Products, and Articles Distributed by Meat Packinghouses* as described in sections A & C of Appendix I to the Report in *Description in Motor Carrier Certificates* 61 M.C.C. 209 and 766 from the plantsite and warehouse facilities of Swift and Company at Grand Island, Nebraska to points in Alabama and Georgia. Restricted: To the transportation of shipments originating at the plantsite and warehouse facilities specified and destined to points in Alabama and Georgia.

NOTE.—Common control may be involved. If a hearing is deemed necessary, applicant requests it be held at either Birmingham, Ala., or Atlanta, Ga.

No. MC 140411 (Sub-No. 2), filed August 18, 1977. Applicant: IKO FORWARDERS LIMITED, 81 Orenda Road, Brampton, Ontario, Canada L6W 1V7. Applicant's representative: Jeremy Kahn, Suite 733 Investment Building, Washington, D.C. 20005. Authority sought to operate as a *contract carrier*, by motor vehicle, over irregular routes, transporting: (1) *Building materials* (except brick, refractory products, and materials and supplies used in the installation of refractory products), from ports of entry on the International Boundary line between the United States and Canada located in Michigan and New York, to points in Maryland, that part of Ohio south of Interstate Highway 70, that part of Pennsylvania south of Interstate Highway 70 between the Pennsylvania-Ohio boundary line and the junction of Interstate Highways 70 and 76, and those south of Interstate Highway 76 between the junction of Interstate Highways 70 and 76 at New Stanton, Pa., and the Pennsylvania-New Jersey boundary line, and those in West Virginia on and north of U.S. Highway 33; and (2) *building materials* (except brick, refractory products and materials and supplies used in the installation of refractory products), between ports of entry on the International Boundary line between the United States and Canada located in New York, Vermont, New Hampshire, and Maine, on the one hand, and on the other, points in Connecticut, Delaware, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, Rhode Island, and Vermont; and (3) *slag waste granules*, from Moundsville, West Virginia and Concord, New Hampshire, to ports of entry on the International Boundary line between the United States and Canada located in Michigan and New York, (1) restricted to the transportation of shipments in foreign commerce, (2) to the transportation of shipments originating at or destined to the plant sites, warehouses, or distribution facilities of IKO Industries Limited, I. G. Machine & Fibers Limited, and Roofmart (Ontario) Limited in the Province of Ontario, Canada; and (3) further restricted to transportation performed under a continuing contract or contracts with IKO Industries Limited; I. G. Machine & Fibers Limited; and Roofmart (Ontario) Limited, Brampton, Ontraio, Canada.

NOTE.—If a hearing is deemed necessary the applicant requests that it be held at either Buffalo, N.Y. or Washington, D.C.

No. MC 140612 (Sub-No. 28), filed August 15, 1977. Robert P. Kazimour, P.O. Box 2207, Cedar Rapids, Iowa 52406. Applicant's representative: A. J. Swanson, 521 South 14th Street, P.O. Box 81849, Lincoln, Nebr. 68501. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: (1) *Appliances*, from Newton, Iowa, to points in Washington, Oregon, California, Utah, Arizona, New Mexico, Texas, Louisiana, Mississippi, Alabama, Georgia, Nevada, Florida, Montana, Idaho, Wyoming, Kentucky, Tennessee, North Carolina, and South Carolina. Restriction: Restricted to the transportation of traffic originated at the facilities of the Maytag Co., at or near Newton, Iowa, and destined to points in the named destination states; and (2) *Component parts and raw materials used in the manufacture of appliances* (except commodities in bulk, in tank vehicles), from points in Tennessee (except Murfreesboro and its Commercial Zone), and Kentucky, to Newton, Iowa. Restriction: Restricted to the transportation of traffic originating at points in the named origin areas and destined to the facilities of the Maytag Company, at or near Newton, Iowa.

NOTE.—By the instant application, applicant seeks conversion of motor contract carrier authority held in No. MC–138003 (Sub-No. 2) and MC–138003 (Sub-No. 4). Applicant holds other motor contract carrier authority in MC–138003 and sub numbers thereunder, therefore dual operations may be involved. If a hearing is deemed necessary, applicant requests it be held at either Des Moines, Iowa, or Cedar Rapids, Iowa.

No. MC 140612 (Sub-No. 29), filed August 18, 1977. Applicant: ROBERT F. KAZIMOUR, P.O. Box 2207, Cedar Rapids, Iowa 52406. Applicant's representative: A. J. Swanson, 521 South 14th Street, P.O. Box 81849, Lincoln, Nebr. 68501. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: (1) *Appliances and furnaces*, from Amana, Iowa, to points in Alabama, Arizona, California, Florida, Georgia, Louisiana, Mississippi, Nevada, Oregon, Tennessee, Utah ,and Washington; (2) *appliances and furnaces*, from Fayetteville, Tenn., to points in Arizona, California, Nevada, Oregon, Utah and Washington. Restriction: Restricted in (1) and (2) above to the transportation of traffic originating at the facilities of Amana Refrigeration, Inc., at or near Amana, Iowa, and Fayetteville, Tenn., and destined to points in the named destination territory; and (3) *appliances, furnaces and component parts and raw materials used in the manufacture of appliances and furnaces*, between Amana, Iowa, and Fayetteville, Tenn. Restriction: Restricted in (3) above to the transportation of traffic originating at or destined to the facilities of Amana Refrigeration, Inc.

NOTE.—By the instant application, applicant seeks conversion of motor contract carrier authority held in No. MC 138003 (Sub-No. 6). Applicant holds other motor contract carrier authority in MC 138003 and subs numbers thereunder, therefore dual operations may be involved. If a hearing is deemed necessary, applicant requests it be held at either Des Moines, Iowa, or Cedar Rapids, Iowa.

No. MC 140709 (Sub-No. 6), filed August 15, 1977. Applicant: FANKHAUSER BROTHERS, INC., 139 Hillside, El Dorado, Kans. 67042. Applicant's representative: Clyde N. Christey, 514 Capitol Federal Bldg., Topeka, Kans. 66603. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Molasses, liquid feed and liquid feed supplements*, in bulk, in tank vehicles, from the facilities of Cargill, Inc., at Garden City, Kans. to points in Colorado, Kansas, Nebraska, New Mexico, Oklahoma and Texas.

NOTE.—If a hearing is deemed necessary, applicant requests it be held at Kansas City, Mo.

No. MC 141377 (Sub-No. 6), filed August 15, 1977. Applicant: THEA O. ELLIOTT, an individual, 5612 Heywood Road, Richmond, Va. 23224. Applicant's representative: Carroll B. Jackson, 1810 Vincennes Road, Richmond, Va. 23229. Authority sought to operate as a *contract carrier*, by motor vehicle, over irregular routes, transporting: (1) *Motor Vehicle Parts; generators; machinery and machinery parts; road construction machinery and equipment* and (2) *materials, equipment and supplies* (except commodities in bulk in tank vehicles) used in the distribution and sales in (1) above: Between York, Pennsylvania, on the one hand, and, on the other, Emporia, Virginia and points in Greensville and Sussex Counties, Virginia; (1) and (2) above are under a continuing contract, or contracts, with Virginia Tractor Company, Inc.

NOTE.—If a hearing is deemed necessary, the applicant requests that it be held at either Richmond, Va. or Washington, D.C.

No. MC 141602 (Sub-No. 4), filed August 8, 1977. Applicant: AUTO & TRUCK FORWARDING, INC., 1989 Marina Blvd., San Leandro, Calif. 94577. Applicant's representative: Paul E. LaRose, 2436 Bluff Street, Niles, Mich. 49120. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: (1) *Trucks, truck tractors and truck chassis*, in initial movements, in driveaway and truckaway service; and (2) *bodies, cabs, and parts thereof, and accessories* for such vehicles when moving in connection therewith, from the plantsite of Freightliner Corporation, at Mt. Holly (Gaston County), N.C., to points in the United States (including Alaska, but excluding Hawaii).

NOTE.—If a hearing is deemed necessary, applicant requests it be held at Portland, Oreg.; Seattle, Wash.; or San Francisco, Calif.

No. MC 141871 (Sub-No. 5), filed August 18, 1977. Applicant: WNI, INC., 8700 S.W. Elligsen Road, Wilsonville, Oreg. 97070. Applicant's representative: Robert Cross (same address as applicant). Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Such commodities* as are distributed or dealt in by home improvement stores (except commodities in bulk) from points in California to points in Arizona, California, Colorado, Idaho, Montana, Nevada, New Mexico, Oregon, Utah, Washington, and Wyoming.

NOTE.—Common control may be involved. If a hearing is deemed necessary, applicant requests that it be held at Chicago, Ill.

No. MC 141882 (Sub-No. 5), filed August 19, 1977. Applicant: GAYLE T. McGARRY, d.b.a EAGLE TRANSFER & STORAGE CO., P.O. Box F, Lewiston, Idaho 83501. Applicant's representative: Charles E. Johnson, P.O. Box 1982, Bismarck, N. Dak. 58501. Authority sought to operate as a *contract carrier*, by motor vehicle, over irregular routes, transporting: (1) *Empty glass bottles*, (a) from Portland, Oregon, and Seattle, Washington, to Coeur D'Alene, Idaho; and (b) from Coeur D'Alene, Idaho, to Spokane, Washington; (2) *carbonated beverages*, from Tumwater, Spokane, and Yakima, Washington, to Coeur D'Alene, Idaho; (3) *vending machines*, from Los Angeles, California, and Tumwater, Washington, to Coeur D'Alene, Idaho; restricted to a transportation service to be performed under a continuing contract or contracts with Mann Bottling Company, Inc., Coeur D'Alene, Idaho; and (4) *carbonated beverages*, from Tumwater, Washington, to Lewiston, Idaho; (5) *vending machines*, from Los Angeles, California, and Tumwater, Washington, to Lewiston, Idaho; (6) *pop coolers*, from San Francisco, California, to Lewiston, Idaho, restricted to a transportation service to be performed under a continuing contract or contracts with Idaho Beverages, Inc., Lewiston, Idaho.

NOTE.—If a hearing is deemed necessary, the applicant requests that it be held at either Spokane, Washington, or Lewiston, Idaho. Applicant holds common carrier authority in No. MC 89153, therefore dual operations may be involved.

No. MC 142299 (Sub-No. 2), filed August 15, 1977. Applicant: TRUCK RAIL TRUCK SERVICE CO., INC., 502 South Harris Street, Indianapolis, Ind. 46222. Applicant's representative: James A. Rumell, 6643 Winnock Drive, Indianapolis, Ind. 46220. Authority is sought to operate as a *common carrier*, by motor vehicle, over irregular routes transporting: *General commodities*, between Chicago, Illinois, Elkhart, Indiana, Ft. Wayne, Indiana, Logansport, Indiana, Indianapolis, Indiana, Louisiville, Kentucky, Detroit, Michigan, Cincinnati, Ohio, Columbus, Ohio and St. Louis, Missouri Rail terminals on the one hand and points in Illinois, Indiana, Kentucky, Michigan and Ohio on the other. Restricted to service which has a prior or subsequent move by rail and moving in rail owned or controlled trailers.

NOTE.—If a hearing is deemed necessary, applicant requests it be held at Chicago, Ill. or Indianapolis, Ind. or Washington, D.C.

No. MC 142508 (Sub-No. 9), filed August 15, 1977. Applicant: NATIONAL TRANSPORTATION, INC., 14031 L Street, Omaha, Nebr. 68137. Applicant's representative: Joseph Winter, 33 N. LaSalle Street, Chicago, Ill. 60602. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Meats, meat products, meat by-products, and articles distributed by meat packinghouses as described in Sections A and C of Appendix I to the report in the Descriptions case, 61 M.C.C. 209 and 766* (except hides and commodities in bulk), from the plantsite and facilities of Morgan Colorado Beef Company at or near Fort Morgan, Colo., to points in Tennessee, and the facilities of Iowa Beef Processors, Inc., at Amarillo, Tex.

NOTE.—If a hearing is deemed necessary, the applicant requests it be held at Washington, D.C. or Chicago, Ill. Applicant holds contract carrier authority in MC 134734 and subs thereunder, therefore dual operations may be involved.

No. MC 142624 (Sub-No. 3), filed August 22, 1977. Applicant: HOMER D. MILLER, d.b.a. H M CARRIER SERVICE, P.O. Box 68, Stone Ridge, N.Y. 12484. Applicant's representative: Homer D. Miller (same address as applicant). Authority sought to operate as a *contract carrier*, by motor vehicle, over irregular routes, transporting: *Laboratory animals*, between the facilities of Carworth, Division of Charles River Breeding Laboratories, Inc. located at Stone Ridge, New York, on the one hand, and, on the other, Albany County Airport, Albany, New York; Kennedy International Airport at New York City; Newark Airport in New Jersey; Ridgefield, Connecticut; Bloomfield, Newark, Somerville, Orange, Nutley, Morristown, New Jersey; and Wilmington, Massachusetts, under a continuing contract or contracts with Carworth, Division of Charles River Breeding Laboratories, Inc.

NOTE.—If a hearing is deemed necessary, the applicant requests that it be held at either Kingston or Albany, N.Y.

No. MC 142948 (Sub-No. 4), filed August 22, 1977. Applicant: THE GRADER LINE, INC., 434 Atlas Drive, Nashville, Tenn. 37211. Applicant's representative: Edward C. Blank, II, Middle Tennessee Bank Building, P.O. Box 1004, Columbia, Tenn. 38401. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Wood stepladders (wood steps No. 1 collapsed), and wood ladders extension and straight (wood ladders No. 1)*, from the manufacturing plant of The Davidson Mfg. Corp., located at Nashville, Tennessee, to points in Kentucky, Georgia, Florida, Mississippi, Louisiana, Indiana, Ohio, Illinois, Alabama, South Carolina, North Carolina, Virginia and West Virginia, restricted to traffic originating at the above named location and destined to the above named designation points.

NOTE.—Applicant holds contract carrier authority in MC 138336 and subs thereunder, therefore dual operations may be involved. If a hearing is deemed necessary, the applicant requests that it be held at Nashville, Tenn.

No. MC 143154 (Sub-No. 2), filed August 11, 1977. Applicant: ARTHUR E. PAMIN, JR. and STEVEN V. BIDLAKE a Partnership, d.b.a. MOLITOR TRUCKING, 6450 Highway 10 West, Missoula, Mont. 59801. Applicant's representative: Charles A. Murray, Jr., 207A Behner Building, 2822 Third Avenue North, Billings, Mont. 59101. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Malt Beverages*, in containers, (1) From Azusa, Fairfield and Los Angeles, Calif., and points in its Commercial Zone, to points in Idaho; and (2) from Fairfield, Calif., to points in Mont.

NOTE.—If a hearing is deemed necessary, the applicant requests it be held at Boise, Idaho. Common control may be involved.

No. MC 143292 (Sub-No. 1), filed August 24, 1977. Applicant: JOE MAZZARO d.b.a. MAZZARO'S REFRIGERATED SERVICE, 1120 N.E. 140th Street, North Miami, Fla. 33161. Applicant's representative: John P. Bond, 2766 Douglas Road, Miami, Fla. 33133. Authority sought to operate as a *Contract Carrier*, by motor vehicle, over irregular routes, transporting: *Plantains, guava paste, canned goods and coffee*, from Miami, Fla. to points in California, under a continuing contract or contracts with Caribbean Pacific Atlantic Importers.

NOTE.—If a hearing is deemed necessary, applicant requests that it be held at Miami, Fla.

No. MC 143473 (Sub-No. 1), filed August 15, 1977. Applicant: TRI-COUNTY DELIVERY, INC., 3627 Buena Vista Drive, Hubbard, Ohio 44425. Applicant's representative: Lewis S. Witherspoon, 88 East Broad Street, Suite 930, Columbus, Ohio 43215. Authority sought to operate as a *contract carrier*, by motor vehicle, over irregular routes, transporting *appliances, television sets, radios, and tape recorders*; between Youngstown, Ohio on the one hand, and, on the other, points in Ohio, Pennsylvania and West Virginia under a continuing contract or contracts with Hamburg Brothers, Inc. located at Youngstown, Ohio.

NOTE.—If a hearing is deemed necessary, applicant requests that it be held at Youngstown, Ohio.

No. MC 143503 (Sub-No. 4), filed August 19, 1977. Applicant: MERCHANTS HOME DELIVERY SERVICE, INC., P.O. Box 5067, Oxnard, Calif. 93031. Applicant's representative: T. M. Brown, 223 Ciudad Bldg., Oklahoma City, Okla. 73112. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting (1) *New furniture*, (a) from Lenexa, Kans., to

points in that part of Missouri on, north and west of a line beginning at the Missouri-Kansas State line and extending along Interstate Highway 44 to junction U.S. Highway 66, thence along U.S. Highway 66 to junction Missouri Highway 5, thence along Missouri Highway 5 to junction U.S. Highway 54, thence along U.S. Highway 54 to junction U.S. Highway 63, thence along U.S. Highway 63 to the Missouri-Iowa State boundary line, (b) (1) from Whitehall (Lehigh County), Pa., to points in Warren, Morris, and Hunterdon Counties, N.J., (2) from Cherry Hill., N.J., to points in Philadelphia, Bucks, Delaware and Montgomery Counties, Pa., and (3) from Langhorne, Pa., to points in Hunterdon, Summerset, Middlesex, Mercer and Burlington Counties, N.J., (c) from Merrillville, Ind., to points in Kane, DuPage, Cook, Kendall, Grundy, Livingston, Ford, Iroquois, Kankakee, and Will Counties, Ill., (d) from Wheeling and Itasca, Ill., to points in Walworth, Racine, Rock, Waukeska, Milwaukee, Washington, and Kenosha Counties, Wis., (e) from Willowbrook, Wheeling, Itasca, and Harvey, Ill., to points in Newton, Jasper, Lake, and Porter Counties, Ind.

(2) *New home furnishings, appliances,* and *recreational equipment,* (a) from El Paso, Tex., to points in Catron, Socorro, Lincoln, Chaves, Lea, Eddy, Otero, Sierra, Grant, Hidalgo, Luna, and Dona Ana Counties, N. Mex., (b) from Nashville, Tenn., to points in Trigg, Caldwell, Christian, Hopkins, Muhlenberg, Todd, Ohio, Butler, Grayson, Edmonson, Hart, Green, Adair, Cumberland, Metcalfe, Monroe, Barren, Allen, Warren, Simpson, and Logan Counties, Ky., (c) from Sharonville, Ohio, to points in Wayne, Henry, Hancock, Marion, Johnson, Shelby, Rush, Fayette, Union, Franklin, Decatur, Bartholomew, Jackson, Jennings, Ripley, Dearborn, Ohio, Switzerland, Jefferson, Scott, Clark, and Floyd Counties, Ind., and Jefferson, Shelby, Oldham, Trimble, Henry, Carroll, Gallatin, Franklin, Scott, Woodford, Fayette, Clark, Montgomery, Bourbon, Bath, Fleming, Mason, Harrison, Bracken, Owen, Grant, Pendleton, Campbell, Kenton, and Boone Counties, Ky., (d) from Charlotte, N.C., to points in Dillon, Marlboro, Chesterfield, Darlington, Florence, Lee, Kershaw, Lancaster, York, Chester, Fairfield, Richland, Lexington, Newbury, Union, Cherokee, Laurens, Spartanburg, and Greenville Counties, S.C., (e) from Monroeville and Coraopolis, Pa., to points in Washington, Noble, Monroe, Guernsey, Belmont, Tuscarawas, Harrison, Jefferson, Columbiana, Carroll, Stark, Summit, Portage, Mahoning, and Trumbull Counties, Ohio; Wood, Pleasants, Ritchie, Tyler, Wetzel, Marshall, Ohio, Brooke, Hancock, Doddridge, Harrison, Marion, Monongalia, Taylor, Preston, Grant, and Mineral Counties, W. Va.; and Garrett and Allegany Counties, Md., (f) from Norfolk, Va., to points in Halifax, Northampton, Nash, Edgecombe, Pitt, Beaufort, Martin, Bertl, Hertford, Chowan, Gates, Perquimans, Pasquotank, Camden, Currituck, Washington, Hyde, Tyrrell, and Dare Counties, N.C., (g) from Calumet City, Rolling Meadows, and Hillside, Ill., to points in Racine, Kenosha, Rock, Waukeska, Milwaukee, Washington, Jefferson, Dodge, and Walworth Counties, Wis.; Newton, Jasper, White, Cass, Miami, Wabash, Huntington, Wells, Adams, Lake, Porter, Starke, LaPorte, St. Joseph, Marshall, Fulton, Kosciusko, Elkhart, LaGrange, Steben, DeKalb, Noble, Whitley, Allen, and Pulaski Counties, Ind.; and Ottawa, Allegan, Van Buren, Berrien, Cass, St. Joseph, Kalamazoo, Barry, Kent, Ionia, Clinton, Eaton, Ingham, Livingston, Oakland, Wayne, Monroe, Lenawee, Washtenaw, Jackson, Hillsdale, Calhoun, and Branch Counties, Mich.

(3) *New furniture and new household appliances,* from points in Jefferson Parish, La., to points in Mississippi on and south of U.S. Highway 80.

(4) *New furniture, furnishings, and appliances,* from Baltimore, Md., to points in Franklin, Cumberland, Dauphin, Adams, Lebanon, Lancaster, Chester, Delaware, and York Counties, Pa., points in New Castle, Kent, and Sussex Counties, Del., points in Fairfax, Loudon, Clarke, Frederick, Shenandoah, Page, Rappanhannock, Culpeper, Orange, Spotsylvania, Carolina, Essex, Richmond, Northumberland, Westmoreland, King George, Stafford, and Prince William Counties, Va.; points in Cumberland, Gloucester, Cape May, Atlantic, and Salem Counties, N.J.; and the District of Columbia.

(5) *New furniture and furnishings,* (a) from Colonie, N.Y., to points in Vermont, Massachusetts, and points in Fairfield, New Haven, Litchfield, and Hartford Counties, Conn., (b) from North Randall, Ohio, to points in New York and points in that part of Pennsylvania on and west of U.S. Highway 15, (c) from Seekonk, Mass., to points in Rhode Island; Berkshire, Hampshire, Hampden, and Franklin Counties, Mass.; and Fairfield, New Haven, Litchfield, and Hartford Counties, Conn., (d) from Buffalo, N.Y., to points in Erie, Warren, McKean, Elk, Jefferson, Clarion, Venango, Crawford, and Mercer Counties, Pa.; and Cuyahoga, Medina, Summit, Portage, Mahoning, Trumbull, Geauga, Lake, and Ashtabula Counties, Ohio.

(6) *Sewing machines, sewing machine heads, sewing machine cabinets, sewing machine components and parts, vacuum cleaners, new furniture, new home furnishings, appliances,* and *recreational equipment,* from St. Louis, Missouri, to points in Calhoun, Jersey, Macoupin, Montgomery, Bond, Madison, Clinton, Washington, Perry, Jackson, Randolph, Monroe, and St. Clair Counties, Ill.

(7) Returned and rejected shipments of commodities described in (1) through (6) above from the destination territories described to the respective origins.

NOTE.—Applicant holds contract carrier authority in MC 136211 (Sub-No. 1) and other subs, therefore dual operations may be involved. By this application, applicant seeks to convert its contract carrier authorities in MC 136211 (Sub-No. 1), and other subs to common carrier authority. If a hearing is deemed necessary, the applicant requests that it be held at either Los Angeles, Calif., Chicago, Ill. or Washington, D.C.

No. MC 143537 (Sub-No. 1), filed August 8, 1977. Applicant: CHARLES W. HOLTCAMP, doing business as C BAR S FARMS, 15743 N. County Road # 17, Wellington, CO 80549. Applicant's representative: Edward Olin Venable, 1012 Ninth Avenue, Greeley, CO 80631. Authority sought to operate as a *contract carrier* by motor vehicle, over irregular routes, transporting: (1) Livestock handling equipment, rodeo equipment, gates, stalls, feeders, bins, racks and other items used in the care of livestock from the plantsite of Westguard Products Company at or near Cheyenne, Wyo., to points in Washington, Idaho, Montana, Utah, Nebraska, Kansas, Texas, and California, and (2) of materials used in the manufacture of the above commodities from points in the Chicago, Ill., area; St. Louis, Mo.; and Norfolk, Nebr., to the plantsite of Westguard Products Company at or near Cheyenne, Wyo., under a continuing contract or contracts with Westguard Products Company of Cheyenne, Wyo.

NOTE.—If a hearing is deemed necessary, applicant requests that it be held at Denver, Colo., Cheyenne, Wyo., or Casper, Wyo.

No. MC 143586 (Sub-No. 1), filed August 19, 1977. Applicant: RANGEN TRANSPORTATION, INC., Route 4, Buhl, Idaho 83316. Applicant's representative: Miss Irene Warr, 430 Judge Building, Salt Lake City, Utah 84111. Authority sought to operate as a *contract carrier,* by motor vehicle, over irregular routes, transporting: Such commodities as are dealt in and used by dealers, distributors, retailers, wholesalers, and manufacturers of animal and fish feed, animal and fish feed ingredients, fertilizer and fertilizer ingredients, chemicals, seeds, and hatchery supplies, between the plantsite and storage facilities of Rangen, Inc., located at or near Buhl, Idaho, on the one hand and on the other, points in Oregon, Washington, Montana, California, Nevada, Utah, Wyoming, Arizona, Colorado, and New Mexico, under a continuing contract, or contracts, with Rangen, Inc.

NOTE.—If a hearing is deemed necessary, applicant requests it be held at either Boise, Idaho, or Salt Lake City, Utah.

No. MC 143610 (Sub-No. 1), filed August 17, 1977. Applicant: PAUL YATES, INC., 6601 West Orangewood, Glendale, Ariz. 85301. Applicant's representative: N. David Enlow (same address as applicant). Authority sought to operate as a *common carrier,* by motor vehicle, over irregular routes, transporting: *Synthetic piece goods and/or cotton piece goods,* from points in Georgia, Massachusetts, New Jersey, New York, North Carolina, Pennsylvania, South Carolina, and Virginia to points in Arizona and California.

NOTE.—If a hearing is deemed necessary, the applicant requests it be held in Phoenix, Ariz.

No. MC 143614, filed August 17, 1977. Applicant: PHILIP LEROY EAST, doing business as EAST TRUCKING, 15 Meadow Lane, Laurel, Md. 20810. Applicant's representative: Philip Leroy East (same address as applicant). Authority sought to operate as a *contract carrier*, by motor vehicle, over irregular routes, transporting: Rough and trim prefabricated house packagess, by the use of specialized hydraulic truck equipment which requires off the road specialized operators, from points in Maryland, to points in Delaware, New Jersey, West Virginia, Virginia, Pennsylvania, and Georgia, under a continuing contract or contracts with the Ryland Group, Inc., a Maryland Corporation.

NOTE.—If a hearing is deemed necessary, applicant requests it be held at Baltimore City, Md.

No. MC 143615, filed August 17, 1977. Applicant: L & A LEASING, INC., P.O. Box 233, Broadway, N.J. 08808. Applicant's representative: George A. Olsen, 69 Tonnele Ave, Jersey City, N.J. 07306. Authority sought to operate as a *contract carrier*, over irregular routes, transporting: Acids, Solvents, Chemicals, and materials, equipment, and supplies used in the manufacture of acids, solvents, and chemicals (except commodities in bulk), between Harris and Phillipsburg, N.J.; and Chicago, Ill.; on the one hand, and, on the other, Chicago, Ill.; Brisbane, Hayward, Pittsburg, San Francisco, Los Angeles, and Pasadena, Calif.; Salt Lake City, Utah; Phoenix, Ariz., and Denver, Colo., under a continuing contract or contracts with J. T. Baker Chemical Co., Phillipsburg, N.J., restricted to shipments moving in mechanical refrigerated equipment.

NOTE.—If a hearing is deemed necessary, the applicant requests that it be held at either Philadelphia, Pa., or Washington, D.C.

No. MC 143616, filed August 18, 1977. Applicant: MADDOX AND STARLING TRUCK BROKERS, INC., P.O. Box 368, Sultana, Calif. 93666. Applicant's representative: Harry C. Ames, Jr., Suite 805, 666 11th Street NW., Washington, D.C. 20001. Authority sought to operate as a *contract carrier*, by motor vehicle, over irregular routes, transporting: Raw steel, castings, forgings, and steel plate, from Holland, Mich., and Denmark, S.C., to Los Angeles and Milpitas, Calif., Denver, Colo., Portland, Oreg., and Seattle, Wash., under a continuing contract with Holland Pacific Hitch Company, located in Milpitas, Calif.

NOTE.—If a hearing is deemed necessary, applicant requests that it be held at San Francisco, Calif.

No. MC 143617, filed August 18, 1977. Applicant: MAGNUM EXPRESS, INC., 7705 West 50 Highway, Shawnee Mission, Kans. 66202. Applicant's representative: Arthur J. Cerra, P.O. Box 19251, 2100 Ten Main Center, Kansas City, Mo. 64141. Authority is sought to operate as a *contract carrier* by motor vehicle, over irregular routes, transporting (1) such fishing, hunting, and camping commodities as are dealt in or sold by sporting goods stores and commodities used in the distribution and sale thereof, and (2) commodities used in the manufacture, distribution, and sale of smokeless and black powders between Herington and Shawnee Mission, Kans., on the one hand, and, on the other, points in the United States (except Alaska and Hawaii), under a continuing contract or contracts with B. E. Hodgdon, Inc., and Hodgdon Powder Company, located in Shawnee Mission, Kans.; Shoot'N Sports, Inc., of Shawnee Mission, Kans.; and Pyrodex Corporation of Herington, Kans.

NOTE.—If a hearing is deemed necessary, applicant requests that it be held at Kansas City, Mo.

No. MC 143621, filed August 19, 1977. Applicant: TENNESSEE STEEL HAULERS, INC., 1005 Murfreesboro Road, Nashville, Tenn. 37217. Applicant's representative: Roland M. Lowell, 618 United American Bank Building, Nashville, Tenn. 37219. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Iron and steel articles* (1) between points in Tennessee lying on and between Tennessee Highway 13 and U.S. Highway 27; and (2) between points in (1) above, on the one hand, and, on the other, all other points in Tennessee, and points in Alabama, Arkansas, Georgia, Kentucky, Mississippi, Missouri, North Carolina, and Virginia.

NOTE.—If a hearing is deemed necessary, applicant requests it be held in Nashville, Tenn.

No. MC 143633, filed August 22, 1977. Applicant: JAMES E. ASHLEY, doing business as ASHLEY HAULING EQUIPMENT CO., 8343 Marty, Overland Park, Kans. 66212. Applicant's representative: Jeremiah D. Finnegan, 2400 Pershing Road, Crown Center, Suite 672, Kansas City, Mo. 64108. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: Personnel carriers, lift trucks, tow tractors, pallet trucks and related parts, attachments, and accessories, between Kansas City, Mo., and Kansas City, Kans., on the one hand, and, on the other, points in Missouri and Iowa; points in Arkansas on and north of Interstate Highway 40, and on and west of U.S. Highway 67; points in Oklahoma on and north of Interstate Highway 40, and on and east of U.S. Highway 281; points in Kansas on and east of U.S. Highway 283; and points in Nebraska on and east of U.S. Highway 183.

NOTE.—If a hearing is deemed necessary, applicant requests that it be held at Kansas City, Mo., or Kansas City, Kans.

No. MC 143634, filed, August 23, 1977. Applicant: WILLIAM CAMPBELL, 611 Old Toll Road, Madison, Conn. 06443. Applicant's representative: William J. Meuser, 86 Cherry Street, P.O. Box 507, Milford, Conn. 06460. Authority sought to operate as a *contract carrier*, by motor vehicle, over irregular routes, transporting: Woven or welded wire fencing or poultry netting rolls, steel galvanized, plain or plastic coated between Georgetown, Conn., on the one hand, and on the other, Sudbury, Mass., under a continuing contract, or contracts, with the Gilbert & Bennett Mfg. Co.

NOTE.—If a hearing is deemed necessary, applicant requests it be held at either New York, N.Y., or Hartford, Conn.

No. MC 143639, filed August 24, 1977. Applicant: SMITH AND SMITH, INC., 4361 Headquarters Road, Charleston Heights, S.C. 29405. Applicant's representative: Frank A. Graham, Jr., 707 Security Federal Building, Columbia, S.C. 29201. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting fertilizer and fertilizer materials, in bulk, in dump vehicles; from points in Charleston County, S.C., to points in Iredell, New Hanover, Robeson, Union, and Wayne Counties, N.C.

NOTE.—If a hearing is deemed necessary, the applicant requests it be held at Columbia, S.C., Charleston, S.C., or Wilmington, N.C.

No. MC 143640 (Sub-No. 1), filed August 19, 1977. Applicant: CAIRO SALT TERMINAL, INC., 2100 MacIvor Drive, Cairo, Ga. 31728. Applicant's representative: Guy H. Postell, Suite 713, 3384 Peachtree Road NE., Atlanta, Ga. 30326 Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Salt and salt products*, from Cairo, Ga., to points in South Carolina, Florida, and Alabama.

NOTE.—If a hearing is deemed necessary, applicant requests that it be held at Atlanta, Ga.

PASSENGERS

No. MC 1515 (Sub-No. 236) filed August 3, 1977. Applicant: GREYHOUND LINES, INC., Greyhound Tower, Phoenix, Arizona 85077. Applicant's representative: W. L. McCracken (same address as applicant). Authority sought to operate as a *common carrier*, by motor vehicle over irregular routes, transporting: *passengers and their baggage*, in special operations, in sightseeing and pleasure tours, (1) in round trips from points in Apache, Cochise, Coconino, Gila, Graham, Greenlee, Maricopa, Mohave, Navajo, Pima, Pinal, Yavapai, and Yuma Counties, Ariz., to points in the United States, including Alaska but excluding Hawaii, and return, (2) in one way operations, from points in the counties in Arizona named in (1) above, to points in the United States, including Alaska but excluding Hawaii.

NOTE.—Common control may be involved. If a hearing is deemed necessary, the applicant requests that it be held at Phoenix, Ariz.

,No. MC 1515 (Sub-No. 237), filed August 4, 1977. Applicant: GREYHOUND LINES, INC., Greyhound Tower, Phoenix, Ariz. 85077. Applicant's representative: W.L. McCracken, (same address as applicant), Authority sought to operate as a *common carrier*, by motor vehicle, over regular routes, transporting: *passengers and their baggage and express and newspapers*, in the same vehicle with

passengers, (1) between the junction of Interstate Highway 77 and Ohio Highway 21 north of Independence, Ohio, and the junction of unnumbered highway and Interstate Highway 77 just south of Kimbolton, Ohio, serving all intermediate points; from the junction of Interstate Highway 77 and Ohio Highway 21 over Interstate Highway 77 to its junction with unnumbered highway and return over the same route; (2) between the junction of Interstate Highway 77 and Ohio Highway 82, and the junction of Ohio Highway 21 and Ohio Highway 82 serving all intermediate points; from the junction of Interstate Highway 77 and Ohio Highway 82 over Ohio Highway 82 to its junction with Ohio Highway 21 and return over the same route; (3) between Dover, Ohio and the junction of Interstate Highway 77 and Ohio Highway 39 serving all intermediate points; from Dover over Ohio Highway 39 to its junction with Interstate Highway 77 and return over the same route; (4) between Newcomerstown, Ohio and the junction of Interstate Highway 77 and U.S. Highway 36 serving all intermediate points; from Newcomerstown over U.S. Highway 36 to its junction with Interstate Highway 77 and return over the same route; (5) between the junction of Interstate Highway 77 and U.S. Highway 22 west of Cambridge, Ohio and the junction of Interstate Highway 77 and West Virginia Highway 95 west of Parkersburg, W. Va., serving all intermediate points; from the junction of Interstate Highway 77 and U.S. Highway 22 over Interstate Highway 77 to its junction with West Virginia Highway 95 and return over the same route; (6) between Caldwell, Ohio and the junction of Ohio Highway 78 and Interstate Highway 77 serving all intermediate points; from Caldwell over Ohio Highway 821 to its junction with Ohio Highway 78 thence over Ohio Highway 78 to its junction with Interstate Highway 77 and return over the same route.

NOTE.—Common control may be involved. If a hearing is deemed necesary, applicant requests it be held at Cleveland, Ohio and Parkersburg, W. Va.

No. MC 67340 (Sub-No. 12), filed August 4, 1977. Applicant: RESORT BUS LINES, INC., 1010 Nepperhan Avenue, Yonkers, N.Y. 10703. Applicant's representative: SAMUEL B. ZINDER, P.C., 98 Cutter Mill Road, Great Neck, N.Y. 11021. Authority sought to operate as a *common carrier* by motor vehicle over irregular routes transporting: *Passengers and their baggage*, in charter operations, beginning and ending at Denver, Colo., and extending to points in the United States, including Alaska but excluding Hawaii. Restriction: The above grant is restricted (1) to students accompanied by tour directors, chaperones and their baggage; (2) to charter operations which are subject to a prior or subsequent out-of-state movement by air; and (3) to charters arranged by licensed brokers of student or teenage tours.

NOTE.—If a hearing is deemed necessary, the applicant requests it be held at New York, N.Y. Common control may be involved.

No. MC 124568 (Sub-No. 5), filed August 5, 1977. Applicant: PACIFIC STAGES LIMITED, 970 Burrard St., Vancouver, B.C., Canada V6Z 1Y3. Applicant's representative: Henry Winters, 15 South Grady Way, Suite 235, Renton, Wash. 98055. Authority sought to operate as a *common carrier* by motor vehicle, over irregular routes, of passengers and their baggage in the same vehicle with passengers, in special operations beginning and ending at ports of entry in Washington on the United States-Canada boundary line and at ports of entry in Washington which are the termini of ferry services operating between the United States and Canada and extending to points in Washington, Oregon, California, Idaho and Nevada, restricted to the transportation of passengers and their baggage in the same vehicle with passengers moving from and to points in Canada.

NOTE.—Common control may be involved. If a hearing is deemed necessary, applicant requests it be held at either Bellingham or Seattle, Wash.

Docket No. MC 138053 (Sub-No. 5), filed August 15, 1977. Applicant: YELLOW CAB OF BOCA RATON, INC., 2150 Northwest First Place, Boca Raton, Fla. 33432. Applicant's representative: Richard B. Austin, Suite 214, Palm Coast II Bldg., 5255 Northwest 87th Avenue, Miami, Fla. 33178. Applicant seeks authority to operate as a *common carrier*, by motor vehicle, over irregular routes, in the transportation of *passengers, and their baggage*, in limousines of a capacity of nine (9) passengers or less (including the driver) in special and charter operations, between Miami International Airport, Fort Lauderdale/Hollywood International Airport, Palm Beach International Airport, Dodge Island and Port Everglades, on the one hand, and on the other, points in Florida. Restricted to passengers having an immediately prior or subsequent movement by air or water in interstate or foreign commerce.

NOTE.—If a hearing is deemed necessary, the applicant requests it be held at Miami, Fla.

No. MC 138828 (Sub-No. 9), filed July 22, 1977. Applicant: MAPLEWOOD EQUIPMENT COMPANY, a corporation, 419 Anderson Avenue, Fairview, N.J. 07022. Applicant's representative: Edward F. Bowes, P.O. Box 1409, 167 Fairfield Road, Fairfield, N.J. 07006. Authority sought to operate as a *common carrier*, by motor vehicle, over regular routes, transporting *passengers and their baggage* in the same vehicles (1) between Fort Lee, N.J., and West New York, N.J., from junction Linwood Avenue and Main Street to junction River Road, also from junction Linwood Avenue and Marginal Highway over Marginal Highway to junction Hudson Terrace, thence over Hudson Terrace to junction Main Street, thence over Main Street to junction River Road, thence over River Road to junction Hillside Road, thence over Hillside Road to junction Kennedy Boulevard East, West New York, N.J., and return over the same routes serving Guttenberg, North Bergen and Edgewater, N.J., as intermediate points and serving West New York, N.J., as a terminal point, for purposes of joinder only to applicant's existing route at the junction of Kennedy Boulevard East and Hillside Road, and (2) between Cliffside Park, N.J., and Edgewater, N.J., from junction Gorge Road and Laird Avenue, (Cliffside Park, N.J.) over Gorge Road to junction River Road, thence over River Road to Edgewater, N.J., and return over the same route serving all intermediate points.

NOTE.—Common control may be involved. If a hearing is deemed necessary, applicant requests it be held at Newark, N.J., or New York, N.Y.

No. MC 143632, filed August 19, 1977. Applicant: JONES BUS COMPANY, INCORPORATED, 2714 Magnolia Street, Portsmouth, Va. 23704. Applicant's representative: Wilmer B. Hill, 805 McLachlen Bank Building, 666 Eleventh Street NW., Washington, D.C. 20001. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Passengers and their baggage*, in the same vehicle with passengers, in special and charter operations, in round-trip tours, beginning and ending at Portsmouth, Norfolk, Chesapeake, Virginia Beach, Hampton, and Newport News, Va., and extending to points in Alabama, Arkansas, Illinois, Indiana, Iowa, Kansas, Kentucky, Louisiana, Michigan, Minnesota, Mississippi, Missouri, Ohio, Oklahoma, Rhode Island, Tennessee, Texas, Vermont, and Wisconsin.

NOTE.—Common control may be involved. If a hearing is deemed necessary, applicant requests that it be held at Norfolk, Va.

FINANCE APPLICATIONS

NOTICE

The following applications seek approval to consolidate, purchase, merge, lease operating rights and properties, or acquire control through ownership of stock, or rail carriers or motor carriers pursuant to sections 5(2) or 210a(b) of the Interstate Commerce Act.

An original and two copies of protests against the granting of the requested authority must be filed with the Commission within 30 days after the date of this FEDERAL REGISTER notice. Such protests shall comply with Special Rules 240(c) or 240(d) of the Commission's General Rules of Practice (49 CFR 1100.240) and shall include a concise statement of protestant's interest in the proceeding. A copy of the protest shall be served concurrently upon applicant's representative, or applicant, if no representative is named.

NOTICE

Illinois Central Gulf Railroad Company, 233 North Michigan Avenue, Chicago, Ill. 60601, represented by Mr. Richard M. Kamowski, Attorney Illinois Central Gulf Railroad Co., 233 North Michigan Avenue, Chicago, Ill. 60601, hereby give notice that on the 25th day of August, 1977, it filed with the Interstate Commerce Commission at Washington, D.C., an application under section 1(18) of the Interstate Commerce Act for an order approving and authorizing the acquisition and operation with an option to purchase of a line of railroad to be constructed and owned by Harrison County, Miss., a distance of approximately 13.58 miles, in Harrison County, Miss., which application is assigned Finance Docket No. 28543.

Applicant proposes to operate a line of railroad to be constructed and owned by Harrison County, Miss. The line will be located entirely within Harrison County, Miss. The line's route is primarily east-west, having a western terminus at or in the vicinity of DeLisle (at a point approximately 7,000 feet south of Interstate Highway 10) extending eastward, crossing the Wolf River, and connecting with Applicant's main line (at a point approximately 3,000 feet south of Interstate Highway 10). It does not pass through any incorporated city or village. The total track length will be approximately 13.58 miles. Harrison County will pay for the construction of this line and applicant proposes to operate over this line, with an option to purchase. The proposed line is the subject matter of the application filed by Southern Mississippi Transportation Co. in Finance Docket No. 28324.

In the opinion of the Applicant, the granting of the authority sought will 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. In accordance with the Commission's regulations (49 C.F.R. 1108.12) in Ex Parte No. 55 (Sub-No. 4), *Implementation—National Environmental Policy Act, 1969*, 352 ICC 451 (1976), any protests may include a statement indicating the presence or absence of any effect of the requested Commission action on the quality of the human environment. If any such effect is alleged to be present, the statement shall indicate with specific data the exact nature and degree of the anticipated impact. See *Implementation—National Environmental Policy Act, 1969, supra*, at p. 487.

Pursuant to the provisions of the Interstate Commerce Act, as amended, the proceeding will be handled without public hearings unless comments in support or opposition on such application are filed with the Secretary, Interstate Commerce Commission, 12th and Constitution Avenue NW., Washington, D.C. 20423, and the aforementioned counsel for applicant, within 30 days after date of first publication in a newspaper of general circulation. Any interested person is entitled to recommend to the Commission that it approve, disapprove, or take any other specified action with respect to such application.

ILLINOIS CENTRAL GULF RAILROAD CO.

No. MC–F–13301. Authority sought for purchase by RAPIER SMITH, Rural Route 3, Bardstown, Ky. 40004, of the operating rights of William G. Brown, 207 N. Third St., Bardstown, Ky. 40004. Applicant's attorney: Robert H. Kinker, 314 W. Main St., Frankfort, Ky. 40601. Operating rights sought to be transferred under Certificates of Public Convenience and Necessity Nos. MC 139404 and MC 139404 Sub 4, as a common carrier, over irregular routes: *Used whiskey barrels*, from points in Kentucky to points in Alabama, Arkansas, Delaware, Florida, Georgia, Illinois, Indiana, Iowa, Louisiana, Maryland, Michigan, Minnesota, Mississippi, Missouri, New Jersey, New York (except Buffalo and points in Kings, Queens, Nassau, and Suffolk Counties), North Carolina, Ohio (except Akron, Cincinnati, Cleveland, Columbus, and Dayton), Pennsylvania (except Erie), South Carolina, Tennessee, Virginia, West Virginia, and Wisconsin; Whiskey barrels, from Louisville, Ky., to points in Illinois, Indiana, Michigan (except Benton Harbor and Fennville), Ohio, and Pennsylvania; *Returned shipments of whiskey barrels*, from points in Illinois, Indiana, Michigan (except Benton Harbor and Fennville), Ohio, and Pennsylvania, to Louisville, Ky.; *Wooden barrels*, from Louisville, Ky., to points in Arkansas, Delaware, Iowa, Maryland, Missouri, New Jersey, New York, North Carolina, South Carolina, Tennessee, Virginia, and West Virginia; and *Wooden barrels, set up*, from Lynchburg and Memphis, Tenn., to points in Kentucky and Ohio. Vendee is authorized to operate in MC 139006 as a common carrier of general commodities over a regular route between Bardstown, Ky., and Chaplin, Ky. Application has not been filed for temporary authority under section 210a(b).

NOTE.—Common control may be involved. If a hearing is deemed necessary, applicants request that it be held at Louisville, Ky.

No. MC–F–13303. Authority sought for cntrol by SMITH'S TRANSFER CORPORATION, P.O. Box 1000, Staunton, Va. 24401, of M.R. & R. TRUCKING Co., a corporation, P.O. Box 997, Crestview, Fla. 32536, and for acquisition by R. R. SMITH, P.O. Box 1000, Staunton, Va. 25501, of control of such rights through the transaction. Applicant's attorney: David G. Macdonald, 1000 Sixteenth Street NW., Washington, D.C. 20036. Operating rights sought to be controlled: General commodities, as a common carrier over regular routes, between Panama City, Fla., and Pensacola, Fla.; general commodities, with usual exceptions, between junction U.S. Highway 98 and Fla. Highway 83 near Point Washington, Fla., and junction Fla. Highway 83 and Fla. Highway 20 at or near Freeport, Fla.; general commodities except household goods, from Panama City to Tallahassee, Fla.; from DeFuniak Springs to Freeport, Fla.; from Niceville, Fla., to junction U.S. Highway 90 and Fla. Highway 285; from Crestview, Fla.; to Niceville, Fla.; from Jacksonville, Fla., to Pensacola, Fla.; from Panama City to Chipley, Fla.; from Ebro to Bonifay, Fla.; from junction Fla. Highway 87 and U.S. Highway 90 over Fla. Highway 87 to junction U.S. Highway 98; from Pensacola to Cantonment, Fla.; from Milton to Whiting Field, Fla.; to and from Quincy, Tallahassee, and Greenville, Fla., as intermediate points in connection with authorized regular route operations over U.S. Highway 90 between Jacksonville and Pensacola, Fla.; between Jacksonville and Cottondale, Fla.; between Tallahassee and Quincy, Fla.; between Panama City, Fla., and the Florida-Alabama State line near Malone, Fla.; between Quincy and the junction of Fla. Highway 267 and Fla. Highway 20; between the junction of Fla. Highway 65 and Fla. Highway 20; between Quincy and Bristol, Fla.; between Chattahoochee and Greensboro, Fla; between Grand Ridge and Blountstown, Fla.

Between junction unnumbered Florida Highway and U.S. Highway 90 and Altha, Fla.; between Cantonment and South Flomation, Fla.; between Bainbridge, Ga., and Dothan, Ala.; between Bainbridge and Amsterdam, Ga.; between Amsterdam, Ga., and Tallahassee, Fla.; between Atlanta, Ga., and Malone, Fla.; between Atlanta, Ga., and Bainbridge, Ga.; between Saffold and Cedar Springs, Ga.; between Colquitt and Cedar Springs, Ga.; serving points in Florida on and west of the eastern boundary of Jefferson County, Fla., as off-route points in connection with authorized regular routes; between Mobile, Ala., and Pensacola, Fla.; between junction U.S. Highway 90 and alternate U.S. Highway 90 and junction U.S. Highway 29 and alternate U.S. Highway 90; between Tallahassee, Fla., and Albany, Ga.; between Tampa, Fla., and Thomasville, Ga.; between Dunnellon and Jacksonville, Fla.; between Archer and Cedar Key, Fla.; between Chiefland and Williston, Fla.; between Greenville and Lake City, Fla.; between Perry and Lake City, Fla.; between Live Oak, Fla., and Mayo, Fla.; between Tampa, Fla., and junction Interstate Highway 75 and U.S. Highway 90; between Perry, Fla., and junction U.S. Highways 98 and 319; between Lake City, Fla., and Dawson, Fla.; between Monticello, Fla., and Albany, Ga.; between Tallahassee, Fla., and Tifton, Ga.; between Malone, Fla., and Dawson, Ga.; between Perry, Fla., and Bainbridge, Ga.; peanuts and cottonseed, over regular routes from Dothan, Ala., to Camilla, Ga.; cottonseed hulls, meal, and peanut meal, from Camilla, Ga., to Dothan, Ala.; cotton in bails, cooking oil, peanut butter, and cottonseed meal, from Dothan, to Mobile, Ala.; groceries and agricultural commodities, from Mobile to Dothan, Ala.; cotton in bails and livestock from Dothan, Ala., to Columbus,

Ga.; hardware, bagging, and ties, from Columbus, Ga., to Dothan, Ala.; irregular routes, cotton in bails, fertilizer, fertilizer materials, peanuts, cottonseed meal, cottonseed hulls, between points in Alabama, Georgia, and Florida, within 75 miles of Dothan, Ala., including Dothan; groceries, hardware, cotton, cottonseed, peanuts, live stock, cottonseed meal, cottonseed hulls between Dothan, Ala., and points in Alabama; regular routes, general commodities, with usual exceptions, serving Fulton, Cobb, Douglas, Clayton and DeKalb Counties, Ga., points in the northern portion of Fayette County, Ga., points in the northwestern portion of Henry County, Ga., points in the southwestern portion of Rockdale County, Ga., and points in the southwestern portion of Gwennitt County, Ga., as off route points in connection with carriers otherwise regular routes.

Between Atlanta, Ga., and points within 15 miles of Atlanta on the one hand, and, on the other, Thomasville, Ga., and Valdosta, Ga.; between Cuthberth and Waycross, Ga.; between Waycross, Ga., and Jacksonville, Fla.; serving Thomaston, Ga., as an intermediate point in connection with carriers presently authorized regular routes operations between Atlanta, Ga., Malone, Fla., and Bainbridge, Ga.; service to Tucker-Stone Mountain Industrial District and Stone Mountain Memorial Park, Panola Industrial District, DeKalb County, Ga.; between Atlanta and Thomaston, Ga.; between Griffin and Thomaston, Ga.; irregular routes, telephone equipment, materials and supplies, between Griffin, Ga., on the one hand, and, on the other, points in Lamar, Pike, Spaulding, Henry, Butts, Clayton, Fayette, and Coweta Counties Ga.; regular routes, general commodities, with usual exceptions, serving points in Sumter County, Ga., as off route points in connection with carriers authorized operations. Vendee is authorized to operate as a common carrier in Alabama, Connecticut, Delaware, the District of Columbia, Georgia, Illinois, Indiana, Iowa, Kansas, Kentucky, Maine, Maryland, Massachusetts, Michigan, Minnesota, Mississippi, Missouri, Nebraska, New Hampshire, New Jersey, New York, North Carolina, Ohio, Pennsylvania, Rhode Island, South Carolina, South Dakota, Tennessee, Virginia, West Virginia, and Wisconsin. Application has not been filed for temporary authority under section 210a(b).

No. MC–F–13310 Authority sought for control and merger by RYDER TRUCK LINES, INC., 2050 Kings Road, Jacksonville, Fla., 32203, of the operating rights and property of ALTO TRUCKING COMPANY, INC., Poplar and Maple Streets, Hazleton, Pa., 18201 and for acquisition by IU TRANSPORTATION SERVICES, INC., which in turn is controlled by IU INTERNATIONAL CORPORATION, both of The Wilmington Tower, 1105 N. Market St., Wilmington, Del. 19801, of control of such rights and property through the transaction. Applicants' attorneys: Roland Rice, 501 Perpetual Building, 1111 E St., NW., Washington, D.C. 10004; H. Beatty Chadwick, 1500 Walnut St., Philadelphia, Pa. 19102; Martin D. Cohn, 6th Floor, Citizens Bank Building, Hazleton, Pa. 18201. Operating rights sought to be controlled and merged: Operation as a common carrier, by motor vehicle, over irregular routes, transporting *packing house products*, from Hazleton, Pa., to Mahonoy City, Pottsville, and Shenandoah, Pa., with no transportation for compensation on return; general commodities (except those of unusual value, and except dangerous explosives, household goods as defined in Practices of Motor Common Carriers of Household Goods, 17 M.C.C. 467, commodities in bulk, commodities requiring special equipment, and those injurious or contaminating to other lading) between Hazleton, Pa., on the one hand, and, on the other, Wilkes-Barre and Scranton, Pa.; *household goods*, as defined in Practices of Motor Common Carriers of Household Goods, 17 M.C.C. 467, between Hazleton, Pa., and points and places within 20 miles thereof on the one hand, and, on the other, points and places in Maryland, New Jersey, and New York; *uncrated machinery*, between Hazleton, Pa., on the one hand, and, on the other, points and places in New Jersey and New York.

As a common carrier by motor vehicle, over regular routes, transporting general commodities (except those of unusual value, classes A and B explosives, household goods as defined by the Commission, commodities in bulk, commodities requiring special equipment, and commodities transported in vehicles equipped with mechanical refrigeration, restricted against the transportation of traffic between Allentown, Bethlehem, and Easton, Pa., on the one hand, and, on the other, Jersey City, N.J., between points in Pennsylvania, as follows: From Hazleton over Pennsylvania Highway 924 to Sheppton, serving the intermediate points of Jeansville, Harwood Mines and Oneida; from Hazleton over Pennsylvania Highway 93 (formerly portion U.S. Highway 309) to junction unnumbered highway (formerly Pennsylvania Highway 193), thence over unnumbered highway to Weatherly, serving the intermediate point of Beaver Meadows; from Hazleton over Pennsylvania Highway 940 (formerly shown unnumbered highway) via Drifton, Freeland, and White Haven, to junction Pennsylvania Highway 437 (formerly shown unnumbered highway) thence over Pennsylvania Highway 437 to Mountain Top; from Hazleton over Pennsylvania Highway 309 (formerly portion U.S. Highway 309) to Mountain Top, serving the intermediate points of Drifton, Freeland, and White Haven, and the off route point of Jeddo; from Wilkes-Barre over Pennsylvania Highway 115 (also over Pennsylvania Highway 309) (formerly portion U.S. Highway 309) to junction U.S. Highway 11, thence over U.S. Highway 11 to Pittston, thence over unnumbered highway (formerly shown Pennsylvania Highway 629) to Ransom, serving from the intermediate point of Pittston; from Wilkes-Barre over Pennsylvania Highway 309 (formerly portion U.S. Highway 309) to junction U.S. Highway 6 (formerly portion U.S. Highway 309), thence over U.S. Highway 6 to junction U.S. Highway 220 (formerly portion U.S. Highway 309), thence over U.S. Highway 220 to Sayre, serving the intermediate points of Tunkhannock, Meshoppen, Black Walnut, Laceyville, Wyalusing, Rummerfield, Wysox, Towanda, Ulster, Milan, and Athens, and the off-route points of Meehoopany, Hornet's Ferry, and Standing Stone; from Wilkes-Barre over Pennsylvania Highway 115 (also over Pennsylvania Highway 309) (formerly portion U.S. Highway 309) to junction U.S. Highway 11, thence over U.S. Highway 11 to Wyoming; from Wilkes-Barre over Pennsylvania Highway 309 (formerly portion U.S. Highway 309) to junction Pennsylvania Highway 118 (formerly shown Pennsylvania Highway 115), thence over Pennsylvania Highway 118 to Red Rock, thence over Pennsylvania Highway 487 to Dushore, thence U.S. Highway 220 to Towanda.

From Wilkes-Barre over Pennsylvania Highway 309 (formerly portion U.S. Highway 309) to junction U.S. Highway 6 (formerly combined U.S. Highways 309 and 6), thence over U.S. Highway 6 to junction Pennsylvania Highway 87, thence over Pennsylvania Highway 87 to Dushore, thence over U.S. Highway 220 to Towanda, serving the intermediate points of Lopez, Bernice, Dushore, Laddsburg, New Albany, Stevenson, South Branch, and Monroeton; from Allentown over Pennsylvania Highway 145 via Cementon to Walnutport, thence over Pennsylvania Highway 946 to Slatinton, thence over Pennsylvania Highway 873 to junction Pennsylvania Highway 248, thence over Pennsylvania Highway 248 to junction Pennsylvania Highway 93, thence over Pennsylvania Highway 93 to Jim Thorpe, (formerly shown as, from Allentown over Pennsylvania Highway 329 to Cementon, thence over Pennsylvania Highway 145 to Walnutport, thence over Pennsylvania Highway 245 to Slatington, and thence over U.S. Highway 309 to Mauch Chunk), serving the intermediate points of Coplay, Cementon, Slatington, Lehigh Gap, and Lehighton, and the off-route points of Bowmanstown, Andreas, and Vest Penn; and return over the above specified routes to points of origin.

From Hazelton over Pennsylvania Highway 93 (formerly Pennsylvania Highway 39) to junction Pennsylvania Highway 924 (formerly Pennsylvania Highway 345), thence over Pennsylvania Highway 924 to junction Pennsylvania Highway 54 (formerly Pennsylvania Highway 45), thence over Pennsylvania Highway 54 to Ashland, thence over Pennsylvania Highway 61 (formerly U.S. Highway 122) to Mt. Carmel, thence over Pennsylvania Highway 54 to Ashland, thence over Pennsylvania Highway 61 (formerly U.S. Highway 122) to Pottsville; and return from Pottsville over Pennsylvania Highway 61 (formerly

U.S. Highway 122) to junction Pennsylvania Highway 443 (formerly Pennsylvania Highway 925), thence over Pennsylvania Highway 443 to junction Pennsylvania Highway 309 (formerly Pennsylvania Highway 29), thence over Pennsylvania Highway 309 to Hazelton; also, return from Pottsville over U.S. Highway 209 to Tamaqua, thence over Pennsylvania Highway 309 (formerly Pennsylvania Highway 29) to Hazelton; serving the intermediate points of McAdoo, Delano, Mahonoy City, Shenandoah, Ashland, Centralia, Mt. Carmel, Schuylkill Haven, and Orwigsburg. From Wilkes-Barre over Pennsylvania Highway 115 (also over Pennsylvania Highway 309) (formerly U.S. Highway 309) to junction U.S. Highway 11, thence over U.S. Highway 11 to junction Pennsylvania Highway 92, thence over Pennsylvania Highway 92 to Tunkhannock, thence over Pennsylvania Highway 29 to Montrose, and return over the same route; and also, return over the immediately above-specified route to Tunkhannock, and thence over Pennsylvania Highway 309 (formerly U.S. Highway 309) to Wilkes-Barre; serving the intermediate points of Falls, White's Ferry, LaGrange, Tunkhannock, Lake Carey, Aldovin, Springville, Dimock, and South Monrose, and the off-route point of Wyoana.

From Wilkes-Barre over Pennsylvania Highway 309 (formerly U.S. Highway 309) to Kunkle, thence over unnumbered highway to Alderson, thence over Pennsylvania Highway 415 (portion formerly Pennsylvania Highway 515) to junction Pennsylvania Highway 29, thence over Pennsylvania Highway 29 to Noxen; and return from Noxen over Pennsylvania Highway 29 to Bowman Creek, thence over Pennsylvania Highway 309 (formerly U.S. Highway 309) to Wilkes-Barre; serving the intermediate points of Dallas, Alderson, and Harvey's Lake. From Allentown over U.S. Highway 22 to Easton, thence over Pennsylvania Highway 115 (formerly unnumbered highway) to Stockertown, and return over the same route; and also, return from Stockertown over Pennsylvania Highway 191 to Nazareth, thence over Pennsylvania Highway 248 to Bath, thence over Pennsylvania Highway 329 to junction Pennsylvania Highway 145, thence over Pennsylvania Highway 145 to Allentown (formerly shown as from Stockertown over Pennsylvania Highway 12 to Nazareth, thence over Pennsylvania Highway 45 to Bath, thence over Pennsylvania Highway 145 to junction Pennsylvania Highway 987, thence over Pennsylvania Highway 987 to Allentown); serving the intermediate points of Bethlehem, Easton, Kepler's Mill, Coilton, Zucksville, and Tatamy, and the off-route point of Hercules. Between Jim Thorpe, Pa., (formerly Mauch Chunk, Pa.), and junction Pennsylvania Highway 93 and unnumbered highway, (formerly shown as junction U.S. Highway 309 and Pennsylvania Highway 193), serving no intermediate points: from Jim Thorpe (formerly Mauch Chunk) over Pennsylvania Highway 93 to junction unnumbered highway, (formerly shown as from Mauch Chunk over U.S. Highway 309 to junction Pennsylvania Highway 193), and return over the same route.

Between Wilkes-Barre, Pa., and Mountain Top, Pa., serving no intermediate points: from Wilkes-Barre over Pennsylvania Highway 309 (formerly U.S. Highway 309) to Mountain Top, and return over the same route. Between Easton, Pa., and Flemington, N.J., serving no intermediate points: from Easton over U.S. Highway 22 to junction Warren County Highway 34–B, thence over Warren County Highway 34–B to Hughesville, N.J., thence over Warren County Highway 37–A to junction U.S. Highway 22, thence over U.S. Highway 22 to junction Hunterdon County Highway 14, thence over Hunterdon County Highway 14 to Pattenburg, N.J., return over Hunterdon County Highway 14 to junction U.S. Highway 22, thence over U.S. Highway 22 to junction Hunterdon County Highway 16, return over Hunterdon County Highway 16 to Pittstown, N.J., return over Hunterdon County Highway 16 to junction U.S. Highway 22, thence over U.S. Highway 22 to junction New Jersey Highway 31 (formerly New Jersey Highway 30), thence over New Jersey Highway 31 to Flemington, and return from Flemington over New Jersey Highway 31 to junction U.S. Highway 22, and thence over U.S. Highway 22 to Easton. Between Flemington, N.J., and Flemington Junction, N.J.; serving no intermediate points: from Flemington over Hunterdon County Highway 19 to Flemington Junction, and return over the same route. Between Bloomsbury, N.J., and Flemington, N.J.; serving no intermediate points: from Bloomsbury over Hunterdon County Highway 41 to junction Hunterdon County Highway 16, thence over Hunterdon County Highway 16 to junction Hunterdon County Highway 38, thence over Hunterdon County Highway 38 to junction Hunterdon County Highway 30, thence over Hunterdon County Highway 30 to Flemington, and return over the same route.

Between Perth Amboy, N.J., and Irvington, N.J.; serving no intermediate points: from Perth Amboy over New Jersey Highway 11 (formerly New Jersey Highway 4) to junction New Jersey Highway 27, thence over New Jersey Highway 27 to Rahway, thence over city streets through Lenox, Clark, Roselle, Roselle Park, and Kenilworth, to junction New Jersey Highway S24, thence over New Jersey Highway S24 to junction Salem Road, thence over city streets via Hillside, N.J., to Irvington, and return over the same route; also from Perth Amboy over New Jersey Highway 11 (formerly New Jersey Highway 4) to junction New Jersey Highway 27, thence over New Jersey Highway 27 to junction Chestnut Street, thence over city streets via Roselle to Irvington, and return over the same route; also from Perth Amboy over New Jersey Highway 35 to junction U.S. Highway 1, thence over U.S. Highway 1 to Elizabeth, thence over New Jersey Highway S24 and city streets to Irvington, and return over the same route. Between Perth Amboy, N.J., and Newark, N.J.; serving no intermediate points: From Perth Amboy over Middlesex New Jersey Highway 27 to junction New Jersey Highway S28, thence over New Jersey Highway S28 to junction Somerset County Highway 1, thence over Somerset County Highway 1 to junction Somerset County Highway 16, thence over Somerset County Highway 16 to junction New Jersey Highway 28, thence over New Jersey Highway 28 to Dunellen, thence over Middlesex County Highway 2R3 to New Market, N.J., thence over New Market Road to South Plainfield, thence over Middlesex County Highway 2R2 to junction U.S. Highway 22, thence over U.S. Highway 22 to Newark, and return from Newark over U.S. Highway 1 to junction New Jersey Highway 35, thence over New Jersey Highway 35 to Perth Amboy, and return over the same route. Between Newark, N.J., and Bayonne, N.J.; serving no intermediate points: from Newark over New Jersey Highway 25 to Jersey City, N.J., thence over city streets to Bayonne and return over the same route.

Between Perth Amboy, N.J., and Flemington, N.J.; serving no intermediate points: from Perth Amboy over Middlesex County Highway IR6 to Metuchen, N.J., thence over Middlesex County Highways 2R1 and 2S1 to Oak Tree, N.J., thence over Middlesex County Highway 2R5 to South Plainfield, N.J., thence over New Market Road to New Market, N.J., thence over William St., and New Market Road to Mountain Road (Middlesex, N.J.), thence over Mountain Road to junction Lincoln Blvd., thence over Lincoln Blvd. to Bound Brook, N.J., thence over Somerset County Highway 1 to junction Somerset County Highway 16, thence over Somerset County Highway 16 to Champlain Road, thence over Highway 206 to junction Somerset County Highway 3, thence over Somerset County Highways 3 and 8 to Flagtown and Neshanic, N.J., thence over Somerset County Highways 11 and 11S1 to junction U.S. Highway 202, thence over U.S. Highway 202 to Flemington, and return from Flemington over U.S. Highway 202 to Somerville, N.J., thence over New Jersey Highway 28 and Somerset County Highway 1 to junction Somerset County Highway 16, thence over Somerset County Highway 16 to Manville, N.J., thence to Perth Amboy as described immediately above. Between Metuchen, N.J., and South Plainfield, N.J.; serving no intermediate points: from Metuchen over New Jersey Highway 27 to junction Middlesex County Highway 2R3, thence over Middlesex County Highways 2R3 and 2R2 to South Plainfield, and return over the same route. Between Bound Brook, N.J., and Perth Amboy, N.J.; serving no intermediate points: from Bound Brook over New Jersey Highway S28 to Highland Park, N.J., thence over New Jersey Highway 27 to Metuchen (also from

Highland Park over U.S. Highway 1 or Middlesex County Highway 1R2 to junction Middlesex County Highway 1R6), and thence over Middlesex County Highway 1R6 to Perth Amboy, and return over the same route. Between Manville, N.J., and Perth Amboy, N.J.; serving no intermediate points: from Manville over Somerset County Highway 16 to East Millstone, N.J., thence over Somerset Highway 3 to Highland Park, and thence to Perth Amboy as described immediately above and return over the same route. Vendee is authorized to operate as a common carrier in all 48 contiguous states. Application has been filed for temporary authority under Section 210a(b).

No. MC–F–13313. Authority sought for control by J. Littlefield, Inc., 6800 South Avalon Boulevard, Los Angeles, Calif. 90003, and its shareholders Jack B. Littlefield and Cathryn Wencke, trustee of the Bremen trust, of (B) BROTHERS TRANSPORTATION, INC., a California corporation, 6800 South Avalon Boulevard, Los Angeles, Calif. 90003, and (BB) STEEL TRANSPORT, INC., a California Corporation, 9950 Cherry, Fontana, Calif. 92335. Applicants' attorney: Milton W. Flack, 4311 Willshire Blvd., Suite 300, Los Angeles, Calif. 90010. Operating rights sought to be controlled: (B) BROTHERS TRANSPORTATION, INC. operates as a *common carrier* of General Commodities with certain specified exceptions, over irregular routes, between Long Beach and Los Angeles Harbor, Calif., on the one hand, and, on the other, points in the Los Angeles, Calif., Commercial Zone, as defined by the Commission, as more particularly described in the certificate of public convenience and necessity No. MC 111230. (BB) STEEL TRANSPORT INC. was granted authority as a common carrier to transport montmorillonite from points in Mineral County, NE., to points in Oregon, Washington, Wyoming, Idaho, Arizona, Utah, Montana, Colorado, California, and New Mexico, as more specifically described in the Order of the Commission dated March 2, 1977, in MC 142333 (Sub-No. 1), subject to the condition that the person or persons who control or manage applicant and another carrier shall obtain approval of such control or management under the provisions of Section 5(2) of the Interstate Commerce Act, or if such approval is not necessary, shall so inform the Commission by affidavit. J. Littlefield, Inc. owns both (B) BROTHERS TRANSPORTATION INC., and (BB) STEEL TRANSPORT INC. Authority is also sought for approval of transfer and/or substitution of Nevada corporations for that of California corporation of BROTHERS TRANSPORTATION, INC., and STEEL TRANSPORT, INC. Approval of the transaction will result in the approval of applicant being in control of both common motor carrier operations of BROTHERS TRANSPORTATION, INC., and STEEL TRANSPORT INC., and will not result in (a) dual operations or (b) duplicating authority. An application for temporary authority under Section 210a (b) has not been filed, and other than as set forth above with reference to MC 142333 (Sub-No. 1) the Section 5(2) application is not related to any pending or simultaneously filed application.

No. MC–F–13315. Authority sought for purchase by Terminal Transport Company, Inc., 248 Chester Avenue, S.E., Atlanta, Ga. 30316, of a portion of the operating rights of CALORE FREIGHT SYSTEM, INC., P.O. Box 1303, Providence, R.I. 02901, and for acquisition by Texas Gas Transmission Corp., P.O. Box 1160, Owensboro, Ky. 42301, American Commercial Lines, 2919 Allen Parkway, Houston, Tex. 77109, and American Freightssystem, 51 Corporate Woods, Overland Park, Kan. 66210, of control of such rights through the purchase. Applicants' attorneys: Harold H. Clokey, P.O. Box 1918, Atlanta, Ga. 30301, and Kenneth B. Williams, 84 State Street, Boston, Mass. 02109. Operating rights sought to be transferred: General commodities, except those of unusual value, and except dangerous explosives, livestock, household goods as defined in practices of motor common carriers of household goods, 17 M.C.C. 467, commodities in bulk, commodities requiring special equipment, and those injurious or contaminating to other lading, as a common carrier over irregular routes between Providence, Rhode Island and points and places in Rhode Island within ten (10) miles of Providence, on the one hand, and, on the other, Pittsfield, MA. Vendee is authorized to operate as a common carrier in Alabama, Florida, Georgia, Idaho, Illinois, Indiana, Iowa, Kentucky, Rhode Island, Massachusetts, Michigan, Missouri, New York, Ohio, Pennsylvania, Tennessee, Wisconsin. Application has not been filed for temporary authority under section 210a(b).

NOTE.—MC 22229 (Sub-No. 118) is a directly related matter.

No. MC–F–13319. Authority sought for purchase by BUTLER TRUCKING CO., P.O. Box 88, Woodland, Pa. 16881 of the operating rights of LUMBER TRANSFER, INC., R.D. No. 1, Weedville, Pa. 15868, and for acquisition by Emanuel Butler, Jr., R.D. DuBois, Pa. 15801, E. Steward Butler, Clearfield, Pa. 16830, and D. Stephen Butler, Clearfield, Pa. 16830 of control of the rights through the purchase. Applicants' attorney: Christian V. Graf, 407 North Front Street, Harrisburg, Pa. 17101. Operating rights sought to be purchased: Lumber, as a common carrier over irregular routes from points in Potter County, Pa., west of Pennsylvania Highway 44, points in that part of Elk County, Pa. east of U.S. Highway 219, and points in Cameron and McKean Counties, Pa., to points in New York; Lumber (except plywood and veneer), Wood Chips and Sawdust, between points in that part of Pennsylvania west of U.S. Highway 11 and points in Ohio, Michigan (except Alpena and Gaylord), Indiana (except South Bend and Lowell), Maryland, New Jersey, and New York; between Hanover, Pa., and points in Ohio, Michigan (except Alpena and Gaylord), Indiana (except South Bend and Lowell), Maryland, New Jersey, and New York; From Hanover, Pa., and points in that part of Pennsylvania west of U.S. Highway 11, to points in West Virginia, with no transportation for compensation on return except as otherwise authorized. Restriction: The authority granted herein from some points in the origin territory involved in Pennsylvania to points in New York shall be construed as comprising a single operating right. Application has not been filed for temporary authority. A directly related application to issue a security in the nature of an installment note is being filed concurrently. Vendee is authorized to operate as a common carrier in Alabama, Arkansas, Connecticut, Delaware, the District of Columbia, Florida, Georgia, Illinois, Indiana, Kentucky, Louisiana, Maine, Maryland, Massachusetts, Michigan, Mississippi, Missouri, New Hampshire, New Jersey, New York, North Carolina, Ohio, Pennsylvania, Rhode Island, South Carolina, Tennessee, Texas, Vermont, Virginia, West Virginia, Wisconsin. Application has not been filed for temporary authority under section 210a(b).

NOTE.—FD–28535 is a directly related matter.

No. MC–F–13331. Authority sought for control by MOON CARRIER, 291 River Road, Clifton, N.J. 07014, of ARMSTRONG TRUCKING CO., INC., and ARMSTRONG RENTALS, INC., and for acquisition by CALTRAN SYSTEMS, INC., 291 River Road, Clifton, N.J. 07014 and WILLIAM C. M. KIVLAN, 115 E. 72nd St., New York, N.Y., 10021, of control of such rights through the transaction. Applicants' attorneys and representative: John L. Milling 921 Bergen Avenue, Jersey City, N.J. 07306, Maxwell A. Howell, 1100 Investment Building, 1511 K Street NW., Washington, D.C. 20005, and George A. Olsen, 69 Tonnele Avenue, Jersey City, N.J. 07306. Operating rights sought to be controlled: ARMSTRONG TRUCKING CO., INC. (MC–15120) authorizing General commodities with the usual exceptions, as a common carrier over irregular routes between points and places in Passaic, Bergen, Morris, Sussex, Warren, Somerset Essex, Union, Middlesex, Mercer, Hudson, Monmouth, and Ocean Counties, N.J., on the one hand, and, on the other, New York, N.Y., points and places in Rockland, Westchester, Putnam, Dutchess, Nassau, and Suffolk Counties, N.Y., and those in Fairfield County, Conn. and (MC–15120 Sub-No. 1) authorizing General Commodities with the usual exceptions, as a common carrier over irregular routes, between points in Essex and Hudson Counties, N.J., on the one hand, and, on the other, points in Bergen, Essex, Middlesex, Morris, Hudson, Passaic, and Union Counties, N.J. Vendee is authorized to operate as a common carrier in New York, Connecticut, Delaware, New Jersey, New York,

and Pennsylvania. Application has been filed for temporary authority under section 210a(b).

NOTE.—ARMSTRONG RENTALS, INC., owns most of revenue equipment operated by ARMSTRONG TRUCKING, which it leases to that company.

No. MC–F–13334. Authority sought for purchase by 5 BROTHERS, INC., 767 St. George Ave., P.O. Box 366, Woodbridge, N.J. 07095 of a portion of the operating rights of N. & N. TRANSPORTATION CO., INC., P.O. Box 641 Manor Branch, New Castle, Del. 19720 and for acquisition by Charles Schwenzer also of 767 St. George Ave., Woodbridge, N.J., of control of the rights through the purchase. Applicant's attorney: William J. Augello, Augello & Pezold, P.C., P.O. Box Z, Huntington, N.Y. 11743. Operating rights sought to be purchased: Terra cotta and hollow building tile from Perth Amboy, N.J. to points in Connecticut, Delaware, Maryland, Massachusetts, New York, Pennsylvania, Rhode Island, and the District of Columbia, over irregular routes as a contract carrier, Permit No. MC–116843, and such products as are manufactured, reclaimed, or distributed by the manufacturers of heat resisting materials, and in connection therewith, equipment, materials and supplies used in the manufacture thereof, between Fords, N.J., and points within five miles of Fords, on the one hand, and, on the other, points in Connecticut, Delaware, Maryland, Massachusetts, New York, Pennsylvania, Rhode Island, and the District of Columbia, restricted to contracts with persons whose business is the manufacture of heat resisting materials, over irregular routes as a contract carrier, as more fully described in Permit No. 116843 Sub-No. 2, 5 Brothers, Inc., holds no authority from this Commission. However, it is controlled by Charles Schwenzer, who also controls Schwenzer Bros., Inc., which is authorized to operate as a contract carrier in New York, New Jersey, Virginia, Washington, the District of Columbia, Maryland, Pennsylvania, Connecticut, Massachusetts. Application has been filed for temporary authority under section 210a(b).

No. MC–F–13335. Authority sought for purchase by FROEHLICH TRANSPORTATION CO., INC., Federal Road, Danbury, Conn. 06810 of the operating rights of FLEET TRANSPORTATION CO., INC., 178 Verge Street, Springfield, Mass. 01103 and for acquisition by Alan D. Froehlich and Frank L. Froehlich of Federal Road, Danbury, Conn. 06810 of control of such rights through the purchase. Applicant's attorney: Thomas W. Murrett, 342 North Main Street, West Hartford, Conn. 06117. Operating rights sought to be transferred: Under a Certificate of Registration in Docket No. MC–98591 Sub-No. 2 covering the transportation of general commodities, as a common carrier, in interstate commerce, between points in the Commonwealth of Massachusetts, New York, New Jersey, New Hampshire, Vermont, and Pennsylvania. Application has been filed for a temporary authority under Section 210a(b).

NOTE.—Docket No. MC–1759 (Sub-No. 36) is a directly related matter.

No. MC–F–13336. Authority sought for purchase by RIO GRANDE MOTOR WAY, INC., 1400 West 52nd Avenue, Denver, Colo. 80221, of the operating rights of ENGLEWOOD TRANSIT CO., 5280 Newport Street, Commerce City, Colo. 80022, and for acquisition by THE DENVER AND RIO GRANDE WESTERN RAILROAD CO., also of Denver, Colo., of control of the rights through the purchase. Applicants' attorneys: Arnold L. Burke, 180 North LaSalle Street, Chicago, Ill. 60601 and Charles J. Kimball, Capitol Life Center, 1600 Sherman, Denver, Colo. 80203. Operating rights to be purchased: Transfer, moving and general cartage business to and from points in the State of Colorado (as specified) as a common carrier over irregular routes as more fully described in Certificate of Registration No. MC–121495 Sub-No. 6. Vendee is authorized to operate as a common carrier under Certificate No. MC–60012 in the States of Colorado, New Mexico, and Utah. Approval of the proposed transaction will result in vendee acquiring duplicating authority to serve certain Colorado points. Application has been filed for temporary authority under Section 210a(b).

NOTE.—MC–60012 (Sub-No. 98) is a directly related matter.

No. MC–F–13337. Authority sought for purchase by STORY'S EXPRESS CO., INC., P. O. Box 520, Blanche Road, Cornwells Heights, Pa., of a portion of the operating rights of KIRBY & KIRBY, INC. (George Minish, Receiver in Bankruptcy, through assignment from Wilmar Trucking, Inc.), 167 Fairfield Road, Fairfield, N.J. 07006, and for acquisition by ATKINSON FREIGHT LINES, INC., Pursuant to temporary authority in MC–F–13119. Joseph B. Atkinson, Jr., P.O. Box 520, Blanche Road, Cornwells Heights, Pa. 19020, of control of such rights through the purchase. Applicant's attorney: Maxwell A. Howell, 1100 Investment Building, 1511 K. Street NW., Washington, D.C. 20005. Operating rights sought to be transferred: General commodities, with exceptions as a common carrier over regular routes between New York, N.Y., and Philadelphia, Pa., serving all intermediate points, as follows: From New York over U.S. Highway 1 to Trenton, N.J., thence over U.S. Highway 13 to Philadelphia, and return over the same route. Vendee is authorized to operate as a common carrier in Connecticut, Delaware, the District of Columbia, Maryland, New Jersey, New York, Pennsylvania, Rhode Island, and Virginia. Application has been filed for temporary authority under section 210a(b).

NOTE.—By application in MC–F–13189 now pending before this Commission Wilmar Trucking, Inc. seeks to purchase a portion of the operating rights of Kirby & Kirby, Inc., George Minish, Receiver in Bankruptcy. The instant transaction evolves from an assignment to transferee by Wilmar Trucking, Inc. of a portion of its rights to purchase those Kirby authorities sought to be acquired in MC–F–13189.

No. MC–F–13340. Authority sought by CONSOLIDATED FREIGHTWAYS CORP. OF DELAWARE, 175 Linfield Drive, Menlo Park, Calif. 94025, to purchase a portion of the operating rights of RINGSBY TRUCK LINES, INC., 3980 Quebec Street, Denver, Colo. 80207, and for acquisition by CONSOLIDATED FREIGHTWAYS, INC., 601 California Street, San Francisco, Calif. 94108, of control of such rights through purchase. Applicant vendee's attorney: E. T. Liipfert, Suite 1000, 1660 L Street NW., Washington, D.C. 20036; applicant vendor's attorney: A. J. Meiklejohn, Jr., 1660 Lincoln Street, Denver, Colo. 80203. Operating rights to be purchased: General commodities, with the usual exceptions, over regular routes, between Iowa City, Iowa and Des Moines, Iowa, serving Cedar Rapids and Ames, Iowa, as intermediate points, over U.S. Highway 218 to Cedar Rapids, U.S. Highway 30 to Ames and U.S. Highway 69 to Des Moines; between Coon Rapids, Iowa, and Omah, Nebr., serving intermediate and off-route points in Greene, Carroll, Audubon, and Guthrie Counties, Iowa, excluding Jefferson, Guthrie Center, Manning, Lanesboro, and Panora: over Iowa Highway 141 to junction U.S. Highway 71 to Hamlin, Iowa, over Iowa Highway 64 to Council Bluffs, Iowa, and across the Missouri River to Omaha (also over unnumbered highways to junction U.S. Highway 30, U.S. Highway 30 to Missouri Valley, Iowa, alternate U.S. Highway 30 to Omaha); between Des Moines and Denison, Iowa, serving the intermediate points of Ankeny, Huxley, Ames, Ericson, Jordan, Boone, Ogden, Beaver, Grand Junction, Jefferson, Scranton, Ralson, Glidden, Carroll, West Side, Vail, Iowa, over U.S. Highway 69 to Ames, U.S. Highway 30 to Denison; between Des Moines, Iowa, and Eagle Grove, Iowa, serving the intermediate points of Stanhope and Woolstock, intermediate and off-route points within 13 miles of the Central Post Office of Des Moines (except Des Moines, Altoona, Ankeny, Carlise, and Norwalk, Iowa), and the off-route points of Stratford, Kamrar, and Vincent, Iowa; over U.S. Highway 69 to junction Iowa Highway 175, Iowa Highway 175 to junction Iowa Highway 60, Iowa Highway 60 to Webster City, Iowa, unnumbered Highways to Woodstock, Iowa Highway 323 to junction Iowa Highway 60, Iowa Highway 60 to Eagle Grove (also over U.S. Highway 69 to junction U.S. Highway 20, U.S. Highway 20 to Webster City, and as specified to Eagle Grove).

Between Des Moines, Iowa, and Clarion, Iowa, and St. Paul and Minneapolis, Minn., serving the intermediate points of Ankeny, Huxley, Ames, Jewell, Blairsburg, Delmond, Goodell, Garner, Venture, Clear Lake, Mason City, Manley, Kensell, and Northwood, Iowa, and Gordonsville, Glenville, Albert Lea, Clarks Grove, Geneva, Steele Center, Owatonna, Medford, Faribault, Dundas, Northfield, Farmington, and Rosemount,

Minn., over U.S. Highway 69 to junction Iowa Highway 3, Iowa Highway 3 to Clarion, also over U.S. Highway 69 to Garner, Iowa, U.S. Highway 18 to Mason City, Iowa, U.S. Highway 65 to Owatonna, Minn., Minnesota Highway 218 via Rosemount to St. Paul and also from Des Moines to Rosemount as specified, and then over Minnesota Highway 218 to junction Minnesota Highway 55, Minnesota Highway 55 to Minneapolis. Transferor also has alternate routes for operating convenience only in conjunction with the above routes between junction Iowa Highways 64 and 117 and junction Iowa Highway 64 and U.S. Highway 30 near Marshalltown, Iowa; between Des Moines and Mason City between junction U.S. Highways 69 and 18 near Garner, Iowa, and Albert Lea, Minn. (two routes); between St. Paul, Minn., and Omaha, between Mason City, Iowa and junction U.S. Highways 218 and 30 northeast of Blairstown, Iowa. Vendee is authorized to operate as a common carrier in all states except Hawaii pursuant to Certificate No. MC–42487 and related sub numbers thereunder. Application has been filed for temporary authority under Section 210a(b).

No. MC–F–13341. Authority sought for purchase by TRUCK TRANSPORT, INCORPORATED, 29 Clayton Hills Lane, St. Louis, Mo. 63131, of the operating rights and property of DRUM TRANSPORT, INC. by DRUM–WHITE, INC., ASSIGNEE, 200 Catherine Street, East Peoria, Ill. 61611, and for acquisition by Robert B. Schilli, 29 Clayton Hills Lane, St. Louis, Mo. 63131, of control of the rights and property through the purchase. Applicants' attorney: Leonard A. Jaskiewicz, 1730 M Street NW., Washington, D.C. 20036, operating rights sought to be transferred: (1) alcohol, grain neutral spirits, alcoholic liquors, wines, brandies as a common carrier over irregular routes, from specified points in Illinois, Iowa, California, Maryland, Pennsylvania, Indiana, Kentucky, New York, New Jersey, Virginia, Delaware, Ohio, Louisiana, Texas, Tennessee, Alabama, and ports of entry on the U.S.-Canada Boundary Line at Detroit and Port Huron, Mich. and at Blaine, Wash. to points in California, Illinois, Indiana, Missouri, Kentucky, Michigan, Washington, Wisconsin, New York, New Jersey, Maryland, Pennsylvania, Maine, Virginia, Georgia, Ohio, Oregon, Massachusetts, Arkansas, Florida, Tennessee, and Texas and ports of entry on the U.S.-Canada Boundary Line at Detroit and Port, Huron, Mich. and ports in Washington; from ports of entry on the U.S.-Mexico Boundary Line in Texas, New Mexico, and Arizona to points in the United States; fertilizer, acids, and chemicals from Fremont, Nebr. to points in seven states; ground grapes, crushed grapes, grape pulp, and grape juice from specified origins in California to Ohio; empty wooden barrels from specified points in Illinois to Detroit, Mich.; flavored syrups from ports of entry on the U.S.-Mexico Boundary Line at Laredo, Tex. to points in the United States. Vendee is authorized to operate as a common carrier in all points in the United States. Application has been filed for temporary authority under Section 210a(b).

No. MC-F-13342. Authority sought for purchase by BERMAN'S MOTOR EXPRESS, INC., P.O. Box No. 1556, Binghamton, N.Y. 13902, of the operating rights of CARROLL'S TORRINGTON EXPRESS CO., P.O. Box No. 313, Torrington, Conn. 06790, and for acquisition by Jacob Berman, 22 Murray St., Binghamton, N.Y., Samuel Berman, Vivian Berman, Mark Berman, and David Berman, all of 11 Barberry Rd., Lexington, Mass., of control of such rights through the transaction. Applicants' attorney: David M. Marshall, 101 State Street, Springfield, Mass. 01103. Operating rights sought to be transferred: Under a certificate of Registration in Docket No. MC–97925 (Sub-No. 1) covering the transportation of General commodities including bulk materials suitable for transportation by dump truck (but not including household goods and office furniture and equipment nor commodities which require the use of tank trucks or other special equipment) as a common carrier over irregular routes between points in Connecticut. Vendee is authorized to operate as a common carrier in Pennsylvania, New York, Massachusetts, Rhode Island, Vermont, New Hampshire, and Maine. Application has been filed for temporary authority under Section 210a(b).

NOTE.—MC–111625 (Sub-No. 22) is a directly related matter; MC–111625 (Sub-No. 23) is a directly related matter.

OPERATING RIGHTS APPLICATION(S) DIRECTLY RELATED TO FINANCE PROCEEDINGS

NOTICE

The following operating rights application(s) are filed in connection with pending finance applications under section 5(2) of the Interstate Commerce Act, or seek tacking and/or gateway elimination in connection with transfer applications under section 212(b) of the Interstate Commerce Act.

An original and two copies of protests to the granting of the authorities must be filed with the Commission within 30 days after the date of this FEDERAL REGISTER notice. Such protests shall comply with Special Rules 247(d) of the Commission's General Rules of Practice (49 CFR 1100.247) and include a concise statement of protestant's interest in the proceeding and copies of its conflicting authorities. Verified statements in opposition should not be tendered at this time. A copy of the protest shall be served concurrently upon applicant's representative, or applicant if no representative is named.

Each applicant states that there will be no significant effect on the quality of the human environment resulting from approval of its application.

No. MC 1759 (Sub-No. 36), filed September 2, 1977. Applicant: FROEHLICH TRANSPORTATION CO., INC., Federal Road, Danbury, Conn. 06810. Applicant's representative: Thomas W. Murrett, 342 North Main Street, West Hartford, Conn. 06117. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: (1) *General commodities* (except those of unusual value, classes A and B explosives, livestock, household goods as defined by the Commission, commodities in bulk, and those requiring special equipment), between points in Massachusetts; and (2) *general commodities* (except those of unusual value, classes A and B explosives, livestock, household goods as defined by the Commission, commodities in bulk, and those requiring special equipment, between New York, N.Y., Newark, N.J., points in New Jersey within 15 miles of Newark, N.J., and points in Connecticut, on the one hand, and, on the other, points in Massachusetts.

NOTE.—The purpose of this filing is (1) to convert Certificate of Registration of Fleet Transportation Co., Inc., in No. MC 98591 (Sub-No. 2), to a Certificate of Public Convenience and Necessity, and (2) to indicate applicant's intention to eliminate the gateways of (a) points in Connecticut within the New York, N.Y., commercial zone and (b) points in Hampden County, Mass., to operate between points in Massachusetts, on the one hand, and, on the other, New York, N.Y., Newark, N.J., and points within 15 miles of Newark, N.J., and points in Connecticut. This matter is directly related to a section 5(2) finance proceeding in Docket No. MC–F–13335, published in a previous section of this issue. If a hearing is deemed necessary, applicant requests that it be held at Hartford, Conn.

No. MC 22229 (Sub-No. 118), filed August 26, 1977. Applicant: TERMINAL TRANSPORT CO., INC., 248 Chester Avenue SE., Atlanta, Ga. 30316. Applicant's representative: Harold H. Clokey, P.O. Box 1918, Atlanta, Ga. 30301. Authority sought to operate as a *common carrier*, by motor vehicle, over regular routes, transporting, *General commodities* (except those of unusual value, classes A and B explosives, livestock, household goods as defined by the Commission, commodities in bulk, commodities requiring special equipment), between Providence, R.I., and points in Rhode Island within ten (10) miles of Providence, and Pittsfield, Mass.: From Pittsfield over highways U.S. 7/20 to junction Interstate 90, thence over Interstate 90 to junction Massachusetts 146, thence over Massachusetts 146 to joinder Connecticut 146, thence over Connecticut 146 to Providence, R.I., and return over the same route, serving Springfield, Mass., as a point of joinder only on the above-described route.

NOTE.—This application is filed simultaneously with section 5 application to purchase irregular-route authority and to convert the irregular-route authority to regular-route authority. If a hearing is deemed necessary, Applicant requests it be held in Providence, R.I., or Boston, Mass. Notice of the filing of the finance application in MC–F–13315 appears in a prior section of this FEDERAL REGISTER issue.

No. MC 60012 (Sub-No. 98), filed September 2, 1977. Applicant: RIO GRANDE

MOTOR WAY, INC., 1400 West 52nd Avenue, Denver, Colo. 80221. Applicant's representative: Arnold L. Burke, 180 N. LaSalle Street, Chicago, Ill. 60601. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *General commodities*, except those of unusual value, household goods as defined by the Commission, classes A and B explosives, commodities in bulk, and those requiring special equipment, between points in Colorado.

NOTE.—The purpose of this application is to convert a Certificate of Registration to a Certificate of Public Convenience and Necessity. This matter is directly related to a section 5(2) proceeding in No. MC–F–13336, published in a previous section of this FEDERAL REGISTER. If a hearing is deemed necessary, applicant requests that it be held at Denver, Colo.

No. MC 65580 (Sub-No. 22) (correction), filed August 24, 1977, published in the FEDERAL REGISTER issue of September 8, 1977, as No. MC 65880 (Sub-No. 22), and republished, as corrected, this issue. Applicant: MUSHROOM TRANSPORTATION CO., INC., 845 East Hunting Park Avenue, Philadelphia, Pa. 19124. Applicant's representative: A. David Millner, P.O. Box 1409, 167 Fairfield Road, Fairfield, N.J. 07006. Authority sought to operate as a *common carrier* by motor vehicle, over irregular routes, transporting: *General commodities* (except those of unusual value, classes A and B explosives, household goods as defined by the Commission, commodities in bulk, and commodities requiring special equipment); between Cleveland, Ohio, on the one hand, and, on the other, points in Ohio.

NOTE.—The purpose of the application is to effectuate a conversion of a Registered Certificate to a Certificate of Public Convenience and Necessity and is directly related to a section 5 proceeding in MC–F–13283 published in the FEDERAL REGISTER issue of August 4, 1977. If a hearing is deemed necessary, applicant requests that it be held at Cleveland, Ohio. The purpose of this correction is to show correct number for this proceeding as No. MC 65580 (Sub-No. 22).

No. MC 111625 (Sub-No. 22), filed September 2, 1977. Applicant: BERMAN S MOTOR EXPRESS, INC., P.O. Box 1566, Binghamton, N.Y. 13902. Applicant's representative: David M. Marshall, 101 State Street, Suite 304, Springfield, Mass. 01103. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *General Commodities*, including bulk materials suitable for transportation by dump truck, (but excluding household goods and office furniture and equipment, commodities which require the use of tank vehicles or other special equipment), between points in Connecticut.

NOTE.—The purpose of this application is to convert a Certificate of Registration to a Certificate of Public Convenience and Necessity. This application is directly related to the Finance Proceeding entitled Berman's Motor Express, Inc.—Purchase—Carroll's Torington Express, Co., MC–F 13342, published in a prior section of this FEDERAL REGISTER. Vendee states, that, as pertinent to this application it is authorized to serve points in Pennsylvania, New York and Massachusetts. If a hearing is deemed necessary, applicant requests that it be held at Albany, N.Y., Boston, Mass., or Washington, D.C.

No. MC 111625 (Sub-No. 23), filed September 2, 1977. Applicant: BERMAN'S MOTOR EXPRESS, INC., P.O. Box 1566, Binghamton, N.Y. 13902. Applicant's representative: David M. Marshall, 101 State Street, Suite 304, Springfield, Mass. 01103. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *General commodities*, (except those of unusual value, class A and B explosives, household goods as defined by the Commission, commodities in bulk and those requiring special equipment), between Binghamton, N.Y., and points in Connecticut.

NOTE.—The purpose of this application is to eliminate the gateways of Springfield and Westfield, Mass. This application is directly related to MC–F 13342, Berman's Motor Express, Inc.—Purchase—Carroll's Torrington Express Co., published in a previous section of this FEDERAL REGISTER. Applicant states, that, as pertinent to this application, it is authorized to serve points in Pennsylvania, New York, and Massachusetts. If a hearing is deemed necessary, applicant requests that it be held at Albany, NY, Boston, Mass., or Washington, D.C.

ABANDONMENT APPLICATIONS

NOTICE OF FINDINGS

Notice is hereby given pursuant to section 1a(6)(a) of the Interstate Commerce Act that orders have been entered in the following abandonment applications which are administratively final and which found that subject to conditions the present and future public convenience and necessity permit abandonment.

A Certificate of Abandonment will be issued to the applicant carriers 30 days after this FEDERAL REGISTER publication unless the instructions set forth in the notices are followed.

Docket No. AB–55 (Sub-No. 7)

SEABOARD COAST LINE RAILROAD COMPANY ABANDONMENT BETWEEN ASHWOOD AND SUMTER IN LEE AND SUMTER COUNTIES, SOUTH CAROLINA

NOTICE OF FINDINGS

Notice is hereby given pursuant to section 1a(6)(a) of the Interstate Commerce Act (49 U.S.C. 1a(6)(a)) that by an order entered on July 21, 1977, a finding, which is administratively final, was made by the Commission, Review Board Number 5, stating that, subject to the conditions for the protection of railway employees prescribed by the Commission in *Chicago, B. & Q. R. Co., Abandonment*, 257 ICC 700, and for public use as set forth in said order, the present and future public convenience and necessity permit the abandonment by the Seaboard Coast Line Railroad Co. of its line of railroad beginning at milepost SJA–337.35 near Ashwood, Lee County, S.C., and extending to milepost SJA–349.16 near Sumter, Sumter County S.C., a distance of 11.81 miles. A certificate of abandonment will be issued to the Seaboard Coast Line Railroad Co. based on the above-described finding of abandonment, 30 days after publication of this notice, unless within 30 days from the date of publication, the Commission further finds that:

(1) A financially responsible person (including a government entity) has offered financial assistance (in the form of a rail service continuation payment) to enable the rail service involved to be continued; and

(2) It is likely that such proffered assistance would:

(a) Cover the difference between the revenues which are attributable to such line of railroad and the avoidable cost of providing rail freight service on such line, together with a reasonable return on the value of such line, or

(b) Cover the acquisition cost of all or any portion of such line of railroad.

If the Commission so finds, the issuance of a certificate of abandonment will be postponed for such reasonable time, not to exceed 6 months, as is necessary to enable such person or entity to enter into a binding agreement, with the carrier seeking such abandonment, to provide such assistance or to purchase such line and to provide for the continued operation of rail services over such line. Upon notification to the Commission of the execution of such an assistance or acquisition and operating agreement, the Commission shall postpone the issuance of such a certificate for such period of time as such an agreement (including any extensions or modifications) is in effect. Information and procedures regarding the financial assistance for continued rail service or the acquisition of the involved rail line are contained in the Notice of the Commission entitled "Procedures for Pending Rail Abandonment Cases" published in the FEDERAL REGISTER on March 31, 1976, at 41 FR 13691. All interested persons are advised to follow the instructions contained therein as well as the instructions contained in the above-referenced order.

Docket No. AB–143

JACKSONVILLE TERMINAL COMPANY—ABANDONMENT OF ITS ENTIRE LINE OF RAILROAD IN DUVAL COUNTY, JACKSONVILLE, FLA.

NOTICE OF FINDINGS

Notice is hereby given pursuant to Section 1a of the Interstate Commerce Act (49 U.S.C. 1a) that by an Certificate and Order dated September 12, 1977, a finding, which is administratively final, was made by the Commission, Commissioner Brown, stating that, subject to the conditions for the protection of railway employees prescribed by the Commission in *Oregon Short Line R. Co.—Abandonment—Goshen*, 354 ICC 76 (1977), and those provided pursuant to Section 405 of the Rail Passenger Service Act (45 U.S.C. 565), and further, that Jacksonville Terminal Co. shall not cease operations until the application in Finance Docket No. 28474 is (a) dismissed for lack of juris-

diction or (b) Florida East Coast Railway Co. (1) publish a summary of the application in a newspaper of general circulation in the affected area for at least three successive weeks, and certify to the same when same is accomplished and (2) provide additional information in support of its allegation that subject trackage "is used primarily as a switching track," the present and future public convenience and necessity permit the abandonment by the Jacksonville Terminal Co. of its entire line of railroad, extending from Broadway Avenue on the north to Riverside Avenue on the south and known as tracks, 28, 29, 31, and YA, a total distance of 6.147 miles, together with appurtenant switching, industrial, and yard tracks and related facilities, all in Duval County, Jacksonville, Fla. A certificate of public convenience and necessity permitting abandonment was issued to the Jacksonville Terminal Company. Since no investigation was instituted, the requirement of section 1121.38 (a) of the Regulations that publication of notice of abandonment decisions in the FEDERAL REGISTER be made only after such a decision becomes administratively final was waived.

Upon receipt by the carrier of an actual offer of financial assistance, the carrier shall make available to the offeror the records, accounts, appraisals, working papers, and other documents used in preparing Exhibit I (sec. 1121.45 of the Regulations). Such documents shall be made available during regular business hours at a time and place mutually agreeable to the parties.

The offer must be filed and served no later than 15 days after publication of this Notice. The offer, as filed, shall contain information required pursuant to section 1121.38(b)(2) and (3) of the Regulations. If no such offer is received, the certificate of public convenience and necessity authorizing abandonment shall become effective 45 days from the date of this publication.

MOTOR CARRIER ALTERNATE ROUTES DEVIATIONS

NOTICE

The following letter-notices to operate over deviation routes for operating convenience only have been filed with the Commission under the Deviation Rules—Motor Carrier of Property (49 CFR 1042.4 (c)(11)).

Protests against the use of any proposed deviation route herein described may be filed with the Commission in the manner and form provided in such rules at any time, but will not operate to stay commencement of the proposed operations unless filed within 30 days from the date of this FEDERAL REGISTER notice.

Each applicant states that there will be no significant effect on the quality of the human environment resulting from approval of its request.

MOTOR CARRIERS OF PROPERTY

No. MC-111594 (Deviation No. 17), C. W. TRANSPORT, INC., 610 High St., Wisconsin Rapids, Wis. 54494, filed September 12, 1977. Carrier proposes to operate as a *common carrier*, by motor vehicle, of *general commodities*, with certain exceptions, over a deviation route as follows: From Hudson, Wis., over Interstate Highway 94 to junction Wisconson Highway 29, thence over Wisconsin Highway 29 to junction U.S. Highway 45, thence over U.S. Highway 45 to junction Wisconsin Highway 76, thence over Wisconsin Highway 76 to junction U.S. Highway 10, thence over U.S. Highway 10 to Appleton, Wis., and return over the same route for operating convenience only. The notice indicates that the carrier is presently authorized to transport the same commodities, over a pertinent service route as follows, from Minneapolis, Minn., over U.S. Highway 12 to Fairchild, Wis., thence over U.S. Highway 10 to junction U.S. Highway 51, thence over U.S. Highway 51 to junction Wisconsin Highway 73, thence over Wisconsin Highway 73 to Wautoma, Wis., thence over Wisconsin Highway 21 to Oshkosh, Wis., thence over U.S. Highway 41 to Appleton, Wis., and return over the same route.

By the Commission.

H. G. HOMME, Jr.,
Acting Secretary.

[FR Doc. 77-28373 Filed 9-28-77; 8:45 am]

[7035-01]

[Notice AB127]

SMALL BUSINESS ADMINISTRATION ON BEHALF OF THE CENTRAL IOWA TRANSPORTATION COOPERATIVE

Abandonment Over CIRC Railroad Line Between Hills and Montezuma, in Johnson, Washington, Keokuk, Mahaska, and Poweshiek Counties, Iowa

SEPTEMBER 20, 1977.

The Interstate Commerce Commission hereby gives notice that its Section of Energy and Environment has concluded that the abandonment proposed by the Des Moines District Office of the Small Business Administration of the total short-line trackage of the Central Iowa Transportation Cooperative (CIRC), extending from Hills to Montezuma in Johnson, Wash., Keokuk, Mahaska, and Poweshiek Counties, Iowa, 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 there would be no environmental impacts associated with traffic diversion as there have been no operations on the line in recent years. The abandonment of the CIRC line would not result in a significant loss of habitat for local wildlife species, nor does the line have potential for alternate public use which would warrant the recommendation of an appropriate condition in the abandonment certificate. There are no known sites or structures of historic value in the vicinity of the subject line, and no foreseeable public safety hazards would result from the abandonment.

A serious adverse impact on rural and community development would not be anticipated in light of the lack of reliance on the subject line for agricultural shipments by area farmers at present and the lack of rail-related economic development plans. Although there are some notable coal deposits in two of the counties traversed by the rail line, any future development of those deposits would not require service on the line.

This conclusion is contained in a staff-prepared environmental threshold assessment survey, which is available on request to the Interstate Commerce Commission, Office of Proceedings, Washington, D.C. 20423; telephone 202-275-7011.

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 November 3, 1977.

It should be emphasized that the environmental threshold assessment survey represents an evaluation of the environmental issues in the proceeding and does not purport to resolve the issue of whether the present or future public convenience and necessity permit discontinuance of the line proposed for abandonment. Consequently, comments on the environmental study should be limited to discussion of the presence or absence of environmental impacts and reasonable alternatives.

H. G. HOMME, Jr.,
Acting Secretary.

[FR Doc.77-28689 Filed 9-28-77;8:45 am]

[7035-01]

[FINANCE DOCKET No. 28324]

SOUTHERN MISSISSIPPI TRANSPORTATION CO.

Construct and Operate a Line of Railroad Located in Harrison County, Miss.

SEPTEMBER 20, 1977.

Notice to the parties: At the request of Save the Bay, Inc., the Commission's Section of Energy and Environment has extended the comment period for the draft environmental impact statement for the above-entitled proceeding to October 13, 1977.

H. G. HOMME, Jr.,
Acting Secretary.

[FR Doc.77-28688 Filed 9-28-77;8:45 am]

sunshine act meetings

This section of the FEDERAL REGISTER contains notices of meetings published under the "Government in the Sunshine Act" (Pub. L. 94-409), 5 U.S.C. 552b(e)(3).

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1

EQUAL EMPLOYMENT OPPORTUNITY COMMISSION:

"FEDERAL REGISTER" CITATION OF PREVIOUS ANNOUNCEMENT: 42 FR 48954, Sept. 26, 1977 and S-1444-77.

PREVIOUSLY ANNOUNCED TIME AND DATE OF MEETING: 9:30 a.m. (eastern time), Thursday, September 29, 1977.

CHANGE IN THE MEETING: Correction. The first matter listed under portions open to the public was announced as "Freedom of Information Act Appeal 77-9-FOIA-184." This is corrected to read: Freedom of Information Act Appeal 77-7-FOIA-149.

CONTACT PERSON FOR MORE INFORMATION:

Marie D. Wilson, Executive Officer, Executive Secretarist at (202-634-6748).

This Notice Issued September 26, 1977.

[S-1465-77 Filed 9-26-77;2:05 pm]

2

FEDERAL COMMUNICATIONS COMMISSION.

TIME AND DATE: 9:30 a.m., Thursday, September 29, 1977.

PLACE: Room 856, 1919 M Street NW., Washington, D.C.

STATUS: Open commission meeting.

MATTER TO BE CONSIDERED:

Agenda, Item No., Subject

* * * * *

Common Carrier—3—Petition to suspend RCA Globcom Systems, Inc., Tariff FCC No. 1. The proposed rates and regulations for Joint User Services.

The prompt and orderly conduct of Commission business requires that less than 7 days notice be given of this additional agenda item.

CONTACT PERSON FOR MORE INFORMATION:

Samuel M. Sharkey, FCC Public Information Officer, telephone number (202-632-7260).

Issued: September 26, 1977.

[S-1466-77 Filed 9-26-77;3:23 pm]

[6720-01]

3

FEDERAL HOME LOAN BANK BOARD.

FEDERAL REGISTER CITATION OF PREVIOUS ANNOUNCEMENT: Vol. 42, No. 185, Friday, September 23, 1977, page 48453.

PREVIOUSLY ANNOUNCED TIME AND DATE OF MEETING: 9:30 a.m., Sept. 27, 1977.

STATUS: Open meeting.

CONTACT PERSON FOR MORE INFORMATION:

Mr. Robert Marshall (202-376-3012).

CHANGES IN THE MEETING: The following item has been withdrawn from the agenda for the open meeting: Consideration of Amendments Relating to Service Corporations.

No. 74, September 26, 1977.

Announcement is being made at the earliest practicable time.

[S-1469-77 Filed 9-26-77; 3:23 pm]

4

FOREIGN CLAIMS SETTLEMENT COMMISSION.

Meeting Notice No. 12-77.

Announcement in Regard to Commission Meetings and Hearings.

The Foreign Claims Settlement Commission, pursuant to its regulations (45 CFR Part 504), and the Government in the Sunshine Act (5 U.S.C. 552b), hereby gives notice in regard to the scheduling of open meetings and oral hearings for the transaction of routine Commission business and other matters specified, as follows:

Date and time	*Subject matter*
Wednesday, October 5, 1977, at 10:30 a.m.	Routine business.
Wednesday, October 12, 1977, at 10:30 a.m.	Routine business.
Wednesday, October 19, 1977, at 10:30 a.m.	Routine business.
Wednesday, October 26, 1977, at 10:30 a.m.	Routine business.

Subject matter listed above, not disposed of at the scheduled meeting, may be carried over to the agenda of the following meeting.

All meetings are held at the Foreign Claims Settlement Commission, 1111 20th Street NW., Washington, D.C. Requests for information, or advance notices of intention to observe a meeting, may be directed to: Executive Director, Foreign Claims Settlement Commission, 1111 20th Street NW., Washington, D.C. 20579. Telephone: 202-653-6156.

Dated at Washington, D.C., on September 20, 1977.

FRANCIS T. MASTERSON,
Executive Director.

[S-1467-77 Filed 9-26-77;3:23 pm]

5

INDIAN CLAIMS COMMISSION.

TIME AND DATE: 10:15 a.m., October 5, 1977.

PLACE: Room 600, 1730 K Street NW., Washington, D.C.

STATUS: Open to the public. Docket 182, *Fort Sill Apache;* Docket 196, *Hopi;* Docket 272, *Creek;* Docket 356, *Pueblo of Santa Clara.*

FOR MORE INFORMATION:

David H. Bigelow, Executive Director, Room 640, 1730 K Street NW., Washington, D.C. 20006. Tel: (202-653-6174).

[S-1468-77 Filed 9-26-77;3:23 pm]

[7035-01]

6

INTERSTATE COMMERCE COMMISSION.

SEPTEMBER 26, 1977.

TIME AND DATE: 2:30 pm., Monday, October 3, 1977.

PLACE: Room 5124, Interstate Commerce Commission Building, 12th Street and Constitution Avenue NW., Washington, D.C.

STATUS: Notice of open meeting.

MATTER TO BE CONSIDERED: Division 3, Division Chairman Brown and Commissioner MacFarland and Christian voted unanimously to hold a meeting to consider the following agenda: 1. Review of present Division workload.

CONTACT PERSON FOR MORE INFORMATION:

Mrs. Hildred Hersman, Confidential Assistant to Commissioner Brown, Telephone: (202–275–7535).

[S–1472–77 Filed 9–27–77;8:52 am]

[4910–58]

7

NATIONAL TRANSPORTATION SAFETY BOARD.

TIME AND DATE: 9:30 a.m., Thursday, October 6, 1977 [NM–77–32].

PLACE: NTSB Board Room, National Transportation Safety Board, 800 Independence Avenue SW., Washington, D.C. 20594.

STATUS: Open.

MATTERS TO BE CONSIDERED:

1. *Letter* to Air Line Pilots Association re reconsideration of probable cause and revised accident report, Pan American B–707, Pago Pago, American Samoa, January 30, 1974.

2. *Railroad Accident Report.*—Derailment of Amtrak train on Burlington Northern Railroad, Ralston, Nebraska, December 16, 1976.

3. *Marine Accident Report.*—Charter Fishing Board PEARL–C on the Columbia River Bar near Astoria, Oregon, September 13, 1976.

4. *Discussion* of revision of NTSB Order 6400.1—Recommendations Procedures.

5. *Aircraft Accident Report.*—Jet Avia, Ltd., Learjet LR–24B, N12MK, Palm Springs, California, January 6, 1977.

CONTACT PERSON FOR MORE INFORMATION:

Sharon Flemming (202–755–4930).

[S–1470–77 Filed 9–26–77;3:23 pm]

[7710–12]

8

POSTAL SERVICE BOARD OF GOVERNORS.

The Board of Governors of the United States Postal Service, pursuant to its Bylaws (39 CFR 7.5 (as amended, 42 FR 12863)) and the Government in the Sunshine Act (5 U.S.C. 552b), hereby gives notice that it intends to hold a meeting at 9:30 A.M. on Tuesday, October 4, 1977, in the Auditorium, Room 1513–1515, Postal Employment Development Center, 90 Church Street, New York, N.Y. Except as indicated in the following paragraphs, the meeting is open to the public. The Board expects to discuss the matters stated in the Agenda which is set forth below. Requests for information about the meeting should be addressed to the Secretary of the Board, Louis A. Cox, at 202–245–4632.

On September 9, 1977, the Board of Governors of the United States Postal Service unanimously voted to close to public observation a portion of the October 4, 1977, meeting. Each of the members of the Board voted in favor of partially closing the meeting, which is expected to be attended by the following persons: Governors Wright, Holding, Ching, Codding, Hardesty, Nevin and Robertson; Postmaster General Bailar; Deputy Postmaster General Bolger; Secretary to the Board Cox; and Senior Assistant Postmaster General (Employee and Labor Relations) Conway.

The portion of the meeting to be closed will consist of a discussion of the Postal Service's possible strategies and positions in anticipated collective bargaining negotiations involving parties to the 1975 National Agreement between the Postal Service and four labor organizations representing certain postal employees, which is scheduled to expire in July of 1978.

AGENDA

1. Minutes of the Previous Meeting.

2. Remarks of the Postmaster General.

(In keeping with its consistent practice, the Board's agenda provides this opportunity for the Postmaster General to inform the members of miscellaneous current developments concerning the Postal Service. He might report, for example, the occurrence of a recent Congressional hearing, the appointment or assignment of a key official, or the effect on postal operations of unusual weather or a major strike in the transportation industry. Nothing that requires a decision by the Board is brought up under this item.)

3. Report of the Regional Postmaster General.

(Mr. Sommerkamp, Regional Postmaster General, Operations Group, will conditions in the Northeastern Region.)

4. Special Report on Christmas Mail Preparations.

(Mr. Dorsey, Senior Assistant Postmaster eGneral, Operations Group, will report on Postal Service preparations for the Christmas mailing season.)

5. Capital Investment Project, Lafayette, La.

(Mr. Maevis, Assistant Postmaster General, Real Estate and Buildings Department, will present a proposed project for a new General Mail Facility and Vehicle Maintenance Facility.)

6. Report on Planned Tests of Improvements in Handling and Postage Procedures for Certain Parcel Post Shipments.

(Ms. Karen Uemoto of the Customer Service Department will present a report on planned tests of possible improvements in parcel post service which could lead to increased parcel post usage by department stores as well as other customers.)

7. Discussion of Strategies and Positions in Collective Bargaining Negotiations.

(Mr. Conway, Senior Assistant Postmaster General, Employee and Labor Relations Group, will discuss with the Board possible strategies and positions in anticipated collective bargaining negotiations for a new Labor Agreement. As stated above in the Notice of Meeting, the part of the meeting that will be devoted to this matter will be closed to the public.)

LOUIS A. COX,
Secretary.

[S–1471–77 Filed 9–26–77;4:05 pm]

federal register

THURSDAY, SEPTEMBER 29, 1977

PART II



DEPARTMENT OF TRANSPORTATION

Coast Guard

and

DEPARTMENT OF DEFENSE

Corps of Engineers

■

TRANSFER OF NAVIGATION REGULATIONS

Title 33—Navigation and Navigable Waters

CHAPTER I—COAST GUARD, DEPARTMENT OF TRANSPORTATION

[CGD 75-082]

TRANSFER OF NAVIGATION REGULATIONS FROM THE CORPS OF ENGINEERS TO THE COAST GUARD

AGENCY: Coast Guard, DOT.

ACTION: Final rule.

SUMMARY: Certain inland waterways navigation regulations are being transferred from the U.S. Army Corps of Engineers to the Coast Guard. This action is the result of the signing of a Memorandum of Understanding between the Corps of Engineers and the Coast Guard that clarifies the responsibilities of each agency for safety on the navigable waters of the United States. This administrative transfer assures effective and efficient regulation of waterway safety.

EFFECTIVE DATE: These amendments are effective on September 29, 1977.

FOR FURTHER INFORMATION CONTACT:

Captain George K. Greiner, Jr., Marine Safety Council (G-CMC/81), Room 8117, Department of Transportation, Nassif Building, 400 Seventh Street SW., Washington, D.C. 20590 (202-426-1477).

SUPPLEMENTARY INFORMATION: Since these amendments are matters relating to agency organization, they are exempt from the notice of proposed rulemaking requirements in 5 U.S.C. 553(b)(3)(A) and since these amendments are not substantive, they may be made effective in less than 30 days after publication in the FEDERAL REGISTER under 5 U.S.C. (d)(2).

DRAFTING INFORMATION

The principal persons involved in the drafting of this regulation are Ensign George W. Molessa, Jr., Project Manager, Office of Marine Environment and Systems, and Lieutenant William R. Kerivan, Project Attorney, Office of Chief Counsel.

DISCUSSION OF REGULATION

A Memorandum of Understanding between the United States Army Corps of Engineers and the United States Coast Guard was signed May 5, 1977, clarifying the responsibilities for safety on the navigable waters of the United States as a result of the enactment of the Ports and Waterways Safety Act of 1972 (Pub. L. 92-340).

Pursuant to sections 7 of 40 Stat. 266 and 6 of 32 Stat. 374, (33 U.S.C. 1), the Secretary of the Army acting through the Corps of Engineers exercises certain regulatory authority over the use, administration, and navigation of the navigable waters of the United States. Under these authorities, the regulations contained in 33 CFR Part 207 were promulgated by the Corps of Engineers.

The Ports and Waterways Safety Act of 1972 (86 Stat. 424 33 U.S.C. 1221 et seq.) provides authority for the Secretary of the Department in which the Coast Guard is operating to regulate vessel navigation on navigable waters of the United States for purposes of marine safety and environmental protection. The Secretary of Transportation, under 49 CFR 1.46(n)(4), has delegated his responsibility under 33 U.S.C. 1221 to the Commandant of the Coast Guard.

A significant portion of the regulations published in 33 CFR Part 207 under Corps of Engineers authority contained in 33 U.S.C. 1 relate to speed limits, non-Department of Defense restricted areas, and vessel operations affecting navigational safety. All regulations in 33 CFR Part 207 falling under Coast Guard responsibility, as determined by a joint agency working committee, are being transferred from the Corps of Engineers to the Coast Guard. The Coast Guard is publishing these regulations in 33 CFR Parts 161 and 162 and will be responsible for their enforcement.

All regulations in 33 CFR Part 207 not covered by the Coast Guard's authority granted by the Ports and Waterways Safety Act will remain with the Corps of Engineers and will remain a part of 33 CFR Part 207. Enforcement responsibilities for these regulations will not be affected.

Those regulations in 33 CFR Part 207 that are being transferred to the Coast Guard are redesignated as follows:

Old sec. No.:	*New section No.*
207.35	162.15
207.36	162.20
207.40	162.25
207.70	162.30
207.80	162.35
207.100 (a), (g), (i), (l), (r), (s)	162.40 (a)-(f)
207.130	162.45
207.140	162.50
207.154	162.55
207.157a	162.60
207.160 (a) (1), (3), (4), (f)	162.65 (a) (1)-(3), (b)
207.172	162.70
207.180 (a) (1), (3), (4), (e) (1)-(4), (5) (i), (iii)-(vi).	162.75 (a) (1)-(3), (b) (1)-(4), (5) (i)-(v)
207.200 (b) (1)-(3), (c), (d)	161.402 (a) (1)-(3), (b), (c)
207.200(e)	162.80(a)
207.260(d)	162.85(a)
207.275 (a) (1), (3), (4) (e) (1), (2), (i)-(iii), (v)-(vii), (3)-(6).	162.90 (a) (1)-(3), (b) (1), (2) (i)-(vi), (3)-(6)
207.301	162.100
207.306 (a), (c)	162.105 (a), (b)
207.400 (a) (1), (2), (4)-(8)	162.110(a) (1)-(7)
207.410 (a), (b), (d)-(j)	162.115 (a)-(i)
207.450	162.120
207.470 (a)-(g), (i)-(l), (n)	162.125 (a)-(l)
207.473(b)	162.130(a)
207.510	162.135
207.530	162.140
207.545	162.145
207.550	162.150
207.560 (a)-(c)	162.155 (a)-(c)
207.565 (a), (b)	162.160 (a), (b)
207.570 (a), (b)	162.165 (a), (b)
207.580 (a), (b)	162.170 (a), (b)
207.590(f)	162.175(a)
207.591	162.180
207.600 (a), (b)	162.185 (a), (b)
207.610(a)-(c)	162.190 (a)-(c)
207.619	162.195
207.619a	162.200
207.640 (k), (o), (p)	162.205 (a)-(c)
207.642	162.210
207.643	162.215
207.645	162.220
207.670	162.225
207.715a	162.230
207.750 (d) (1)-(6), (10), (l)	162.235 (a) (1)-(7), (b)
207.785	162.240
207.787	162.245
207.790	162.250
207.800 (a), (c)-(h)	162.255 (a)-(g)
207.810	162.260
207.812	162.265
207.900	162.270

In consideration of the foregoing, Chapter I of Title 33 of the Code of Regulations is amended as follows:

1. By amending Part 161 by adding §§ 161.401 and 161.402 grouped under a center-head reading as follows:

PART 161—NEW ORLEANS VESSEL TRAFFIC SERVICE

GENERAL RULES

Sec.
161.401 Purpose and applicability.
161.402 Vessel operation.

AUTHORITY: Sec. 104, Pub. L. 92-340, 86 Stat. 424 (33 U.S.C. 1224); 49 CFR 1.46(n)(4).

GENERAL RULES

§ 161.401 Purpose and applicability.

(a) Sections 161.401 and 161.402 prescribe rules for vessel operation in the New Orleans Vessel Traffic Service Area (VTS Area) to prevent collisions and groundings and to protect the navigable waters of the VTS Area from environmental harm resulting from collisions and groundings.

§ 161.402 Vessel operation.

(a) Mississippi River below Baton Rouge, LA, including South and Southwest Passes—

(1) *Supervision.* The use, administration, and navigation of the waterways to which this paragraph applies shall be under the supervision of the District Commander, Eighth Coast Guard District.

(2) *Speed; high-water precautions.* When passing another vessel (in motion, anchored, or tied up), a wharf or other structure, work under construction, plant engaged in river and harbor improvement, levees withstanding flood waters, buildings partially or wholly submerged by high water, or any other structure liable to damage by collision, suction or wave action, vessels shall give as much leeway as circumstances permit and reduce their speed sufficiently to preclude causing damages to the vessel or structure being passed. Since this subparagraph pertains directly to the manner in which vessels are operated, masters of vessels shall be held responsible for strict observance and full compliance therewith. During high river stages, floods, or other emergencies, the District Commander may prescribe by navigation bulletins or other means the limiting speed in land miles per hour deemed necessary for the public safety for the entire section or any part of the waterways covered by this paragraph, and such limiting speed shall be strictly observed.

(3) *Towing.* Towing in any formation by a vessel with insufficient power to permit ready maneuverability and safe handling is prohibited.

(b) Movement of vessels in vicinity of Algiers Point, New Orleans Harbor—

(1) *Control lights.* When the Mississippi River reaches 10 feet on the Carrollton Gage on a rising stage, and until the gage reads 12 feet on a falling stage, the movement of all tugs with tows and all ships, whether under their own power or in tow, and excluding tugs or towboats without tows or river craft of comparable size and maneuverability operating under their own power, in the vicinity of Algiers Point shall be governed by red and green lights designated and located as follows: Governor Nicholls Light located on the left descending bank on the wharf shed at the upstream end of Esplanada Avenue Wharf, New Orleans, approximately 94.3 miles above Head of Passes; and Gretna Light located on the right descending bank on top of the levee at the foot of Ocean Avenue, Gretna, approximately 96.6 miles above Head of Passes. Governor Nicholls Light has lights visible from both upstream and downstream, and Gretna Light has lights visible from upstream, all indicating by proper color the direction of traffic around Algiers Point. From downstream, Gretna Light always shows green. All lights oscillate through 60 degrees, sweeping the entire width of the river every five seconds. A green light displayed ahead of a vessel (in the direction of travel) indicates that Algiers Point is clear and the vessel may proceed. A red light displayed ahead of a vessel (in the direction of travel) indicates that Algiers Point is not clear and the vessel shall not proceed. Absence of lights shall be considered a danger signal and no attempt shall be made to navigate through the restricted area.

(2) *Ascending vessels.* Ascending vessels shall not proceed farther up the river than a line connecting the upper end of Morgans Wharf (on right descending bank) with the lower end of Desire Street Wharf (on left descending bank) when a red light is displayed. Vessels awaiting a change of signal shall keep clear of descending vessels.

(3) *Descending vessels.* (i) Descending vessels shall not proceed farther down the river than a line connecting the lower end of Julia Street Wharf (on left descending bank) with Diana Street (on right descending bank) when a red light is displayed. Vessels shall round to and be headed upstream before they reach that line, if the signal remains against the vessel. Vessels awaiting a change of signal shall keep clear of ascending vessels.

(ii) Vessels destined to a wharf above the lower end of Julia Street Wharf shall signal the Gretna towerman three long blasts and one short blast of a whistle or horn to indicate that the vessel is not bound below the Julia Street Wharf.

(iii) The master, pilot, or authorized representative of any vessel scheduled to depart from a wharf between Governor Nicholls Light and Louisiana Avenue, bound downstream around Algiers Point, shall communicate with the Governor Nicholls Light towerman by telephone to determine whether the channel at Algiers Point is clear before departure. When the point is clear, vessels shall then proceed promptly so that other traffic will not be unnecessarily delayed.

NOTE.—Telephone numbers of both signal towers will be published in navigation bulletins in advance of each operating period.

(4) *Minor changes.* The District Commander is authorized to waive operation or suspension of the lights whenever prospective river stages make it appear that the operation or suspension will be required for only a brief period of time or when river stages will rise or fall below the critical stage which is established for operation or suspension by only a few tenths on the Carrollton Gage.

(5) *Underpowered vessels.* When the Carrollton Gage reads 12 feet or higher, any vessel which is considered by the master or pilot as being underpowered or a poor handler shall not navigate around Algiers Point without the assistance of a tug or tugs.

(6) *Towing.* When the Carrollton Gage reads 12 feet or higher, towing on a hawser in a downstream direction between Julia Street and Desire Street is prohibited except by special permission of the District Commander.

(c) Navigation of South and Southwest Passes.

(1) No vessel, except small craft and towboats and tugs without tows, shall enter either South Pass or Southwest Pass from the Gulf until after any descending vessel which has approached within two and one-half (2½) miles of the outer end of the jetties and visible to the ascending vessel shall have passed to sea.

(2) No vessel having a speed of less than ten mph shall enter South Pass from the Gulf when the stage of the Mississippi River exceeds 15 feet on the Carrollton Gage at New Orleans. This subparagraph does not apply when Southwest Pass is closed to navigation.

(3) No vessel, except small craft and towboats and tugs without tows, ascending South Pass shall pass Franks Crossing Light until after a descending vessel shall have passed Depot Point Light.

(4) No vessel, except small craft and towboats and tugs without tows, shall enter the channel at the head of South Pass until after an ascending vessel which has reached Franks Crossing Light shall have passed through into the river.

(5) When navigating South Pass during periods of darkness no tow shall consist of more than one towed vessel other than small craft, and during daylight hours no tow shall consist of more than two towed vessels other than small craft. Tows may be in any formation. When towing on a hawser, the hawser shall be as short as practicable to provide full control at all times.

(6) When towing in Southwest Pass during periods of darkness no tow shall consist of more than two towed vessels other than small craft, and during daylight hours no tow shall consist of more than three towed vessels other than small craft.

PART 162—INLAND WATERWAYS NAVIGATION REGULATIONS

2. By adding a new Part 162 to read as follows:

Sec.
162.15 Manhasset Bay, N.Y.; seaplane restricted area.
162.20 Flushing Bay near La Guardia Airport, Flushing, N.Y.; restricted area.

Sec.

162.25 Ambrose Channel, New York Harbor, N.Y.; navigation.
162.30 Channel of Tuckerton Creek, N.J.; navigation.
162.35 Channel of Christina River, Del.; navigation.
162.40 Inland waterway from Delaware River to Chesapeake Bay, Del. and Md. (Chesapeake and Delaware Canal); use, administration, and navigation.
162.45 York Spit Channel, Chesapeake Bay; navigation.
162.50 Thimble Shoal Channel, Chesapeake Bay; navigation.
162.55 Southern Branch of Elizabeth River; speed.
162.60 Little Creek, Va.; speed.
162.65 All waterways tributary to the Atlantic Ocean south of Chesapeake Bay and all waterways tributary to the Gulf of Mexico east and south of St. Marks, Fla.; use, administration, and navigation.
162.70 Biscayne Bay, Fla.; Seaplane Operating Area, Coast Guard, Miami, Fla.
162.75 All waterways tributory to the Gulf of Mexico (except the Mississippi River, its tributaries, South and Southwest Passes and the Atchafalaya River) from St. Marks, Fla., to the Rio Grande; use, administration, and navigation.
162.80 Mississippi River below mouth of Ohio River, including South and Southwest Passes; use, administration, and navigation.
162.85 Yazoo Diversion Canal, Vicksburg, Miss., from its mouth at Kleinston Landing to Fisher Street; navigation.
162.90 White River, Arkansas Post Canal, Arkansas River and Verdigris River between Mississippi River, Ark., and Catoosa, Okla.; use, administration, and navigation.
162.100 Ohio River at Louisville, Ky.; restricted area.
162.105 Missouri River; administration and navigation.
162.110 Duluth-Superior Harbor, Minn., and Wis.; use, administration, and navigation, and bridge regulations.
162.115 Keweenaw Waterway, Mich.; use, administration, and navigation.
162.120 Harbors on Lake Michigan; speed of vessels.
162.125 Sturgeon Bay and Lake Michigan Ship Canal, Wis., use and navigation.
162.130 Waukegan Harbor, Ill.
162.135 Connecting waters of the Great Lakes from Lake Huron to Lake Erie; use, administration and navigation.
162.140 Rouge River and Short Cut Canal, Mich.; use, administration and navigation.
162.145 Monroe Harbor, Mich.; use, administration, and navigation.
162.150 Maumee Bay Channel, Ohio; use, administration and navigation.
162.155 Sandusky Harbor, Ohio; use, administration, and navigation.
162.160 Vermilion Harbor, Ohio; use, administration, and navigation.
162.165 Harbors of Huron, Lorain, Cleveland, Fairport, Ashtabula, Conneaut, Ohio; use, administration, and navigation.
162.170 Buffalo Harbor, N.Y.; use, administration, and navigation.
162.175 Black Rock Canal and Lock at Buffalo, N.Y.; use, administration and navigation.
162.180 Niagara River at Niagara Falls, N.Y.; restricted area.
162.185 Rochester (Charlotte) Harbor, N.Y.; use, administration, and navigation.
162.190 St. Lawrence River, Cape Vincent Harbor, N.Y.; use, administration, and navigation of the harbor and United States breakwater.
162.195 Santa Monica Bay, Calif.; restricted area.
162.200 Marina del Ray, Calif.; restricted area.
162.205 San Francisco Bay, San Pablo Bay, Carquinez Strait, Suisun Bay, San Joaquin River, and connecting waters, Calif.
162.210 Lake Tahoe, Calif.; restricted areas along south shore.
162.215 Lake Tahoe, Nevada; restricted area adjacent to Nevada Beach.
162.220 Hoover Dam, Lake Mead, and Lake Mohave (Colorado River), Ariz.–Nev.
162.225 Columbia and Willamette Rivers, Washington and Oregon; administration and navigation.
162.230 Columbia River, Wash.
162.325 Puget Sound Area, Wash.
162.240 Tongass Narrows, Alaska; navigation.
162.245 Kenai River, Kenai, Alaska; use, administration, and navigation.
162.250 Port Alexander, Alaska; speed of vessels.
162.255 Wrangell Narrows, Alaska; use, administration, and navigation.
162.260 Channel leading to San Juan Harbor, P.R.; use, administration, and navigation.
162.265 San Juan Harbor, Puerto Rico; seaplane restricted area.
162.270 Restricted areas in vicinity of Maritime Administration Reserve Fleets.

AUTHORITY: Sec. 104, Pub. L. 92-340, 86 Stat. 424 (33 U.S.C. 1224); 49 CFR 1.46(n)(4).

§ 162.15 Manhasset Bay, N.Y.; seaplane restricted area.

(a) *The restricted area.* An area in Manhasset Bay between the shore at Manorhaven on the north and the southerly limit line of the special anchorage area in Manhasset Bay, west area at Manorhaven (described in § 202.60 of this chapter), on the south; its axis being a line bearing 166°50′ true from latitude 40°50′17.337″, longitude 73°43′-03.877″, which point is on the south side of Orchard Beach Boulevard at Manorhaven; and being 100 feet wide for a distance of 380 feet in a southerly direction from the south side of Orchard Beach Boulevard, and thence flaring to a width of 300 feet at the southerly limit line.

(b) *The regulations.* (1) Vessels shall not anchor or moor within the restricted area.

(2) All vessels traversing the area shall pass directly through without unnecessary delay, and shall give seaplanes the right-of-way at all times.

§ 162.20 Flushing Bay near La Guardia Airport, Flushing, N.Y.; restricted area.

(a) *The area.* An area in the main channel in Flushing Bay extending for a distance of 300 feet on either side of the extended center line of Runway No. 13–31 at La Guardia Airport.

(b) *The regulations.* (1) All vessels traversing in the area shall pass directly through without unnecessary delay.

(2) No vessels having a height of more than 35 feet with reference to the plane of mean high water shall enter or pass through the area whenever visibility is less than one mile.

§ 162.25 Ambrose Channel, New York Harbor, N.Y.; navigation.

(a) The use of Ambrose Channel (formerly and before improvement called "East Channel") is hereby restricted to navigation by vessels under efficient control with their own motive power and not having barges or other vessels or floats in tow. Sailing vessels and vessels carrying tows are not permitted to use this channel except under permit as provided in paragraph (b) of this section.

(b) The Captain of the Port, New York may authorize vessels under tow to use Ambrose Channel in special cases when, in his judgment, the draft of such vessels or other conditions may render unsafe the use of other channels.

(c) Vessels permitted to use Ambrose Channel under paragraphs (a) and (b) of this section must proceed through the channel at a reasonable speed such as not to endanger other vessels and not to interfere with any work which may become necessary in maintaining, surveying, or buoying the channel; and they must not anchor in the channel except in cases of emergency, such as fog or accident, which would render progress unsafe or impossible.

(d) This section is not to be construed as prohibiting any necessary use of the channel by any Government boats while on Government duty, nor in emergencies by pilot boats whether steam or sail, nor by police boats.

(e) This section shall remain in force until modified or rescinded, and shall supplant all prior regulations governing the use of Ambrose Channel, which are hereby revoked.

§ 162.30 Channel of Tuckerton Creek, N.J.; navigation.

(a) Power boats or other vessels propelled by machinery shall not proceed at any time within the limits of these waters at a greater speed than 8 statute miles per hour.

§ 162.35 Channel of Christina River, Del.; navigation.

(a) That vessels of over 20 tons capacity, propelled by machinery, shall not proceed at any time within the limits of these waters at a greater speed than 8 statute miles per hour.

§ 162.40 Inland waterway from Delaware River to Chesapeake Bay, Del. and Md. (Chesapeake and Delaware Canal).

(a) *Applicability.* The regulations in this section are applicable to that part of the inland waterway from Delaware River to Chesapeake Bay, Del. and Md., between Reedy Point, Delaware River, and Old Town Point Wharf, Elk River.

(b) *Speed.* No vessel in the waterway shall be raced or crowded alongside another vessel. Vessels of all types, including pleasure craft, are required to travel at all times at a safe speed throughout the canal and its approaches so as to avoid damage by suction or wave wash to wharves, landings, riprap protection, or other boats, or injury to persons. Pilots and vessel operators transiting the canal and its approaches are warned that violation of this rule may result in having their privilege to transit the canal suspended. Passages of vessels through the canal will be monitored and specific cases will be investigated where damage by suction or wave wash does occur. Owners and operators of yachts, motorboats, rowboats, and other craft are cautioned that large deep draft ocean-going vessels and other large commercial vessels ply the canal, and such owners and operators should be particularly careful to moor or anchor well away from the main ship channels, with moorings and lines which are sufficient and proper.

(c) *Right-of-way.* All vessels proceeding with the current shall have the right-of-way over those proceeding against the current. Large vessels or tows must not overtake and attempt to pass other large vessels or tows in the waterway. All small pleasure craft shall relinquish the right-of-way to deeper draft vessels, which have a limited maneuvering ability due to their draft and size.

(d) *Stopping in waterway.* Vessels will not be permitted to stop or anchor in the ship channel.

(e) *Water skiing.* Water skiing in the waterway is prohibited between Reedy Point and Welch Point.

(f) *Sailboats.* Transiting the canal by vessels under sail is not permitted between Reedy Point and Welch Point.

NOTE: The Corps of Engineers also has regulations dealing with this section in 33 CFR Part 207.

§ 162.45 York Spit Channel, Chesapeake Bay; navigation.

The use of this channel shall be restricted to vessels and other watercraft passing up or down the bay, and no vessel or other watercraft shall cross the channel or enter it an any point other than at its ends and in the direction of its axis. Any vessel having entered the channel shall follow the course thereof for its entire length.

§ 162.50 Thimble Shoal Channel, Chesapeake Bay; navigation.

(a) The use of this channel shall be restricted to vessels, tows, and other watercraft drawing 20 feet or more at the time of navigating the channel: *Provided,* That this restriction shall not apply to passenger-carrying vessels.

(b) Watercraft permitted to use the channel under paragraph (a) of this section shall proceed through at a reasonable speed so as not to endanger other vessels or interfere with any work in connection with maintaining, surveying or buoying the channel. Vessels shall not anchor in the channel except in cases of emergency, such as fog or accident, which would render progress unsafe or impossible.

(c) This section shall not be construed as prohibiting necessary use of the channel by Government boats while on Government duty, or its use in emergencies by pilot boats, whether steam or sail, or by police boats.

§ 162.55 Southern Branch of Elizabeth River; speed.

In that part of the Southern Branch of Elizabeth River between the junction of the Southern and Eastern Branches of the Elizabeth River and the Norfolk and Portsmouth Belt Line Railroad Bridge, no vessel shall move at a speed exceeding six knots.

§ 162.60 Little Creek, Va.; speed.

No vessel shall proceed at a speed exceeding five knots in that part of Fishermans Cove (Northwest Branch of Little Creek) between the highway bridge on U.S. Route 60 and the mouth of the Cove.

§ 162.65 All waterways tributary to the Atlantic Ocean south of Chesapeake Bay and all waterways tributary to the Gulf of Mexico east and south of St. Marks, Fla.

(a) *Description.* This section applies to the following:

(1) *Waterways.* All navigable waters of the United States, natural or artificial, including bays, lakes, sounds, rivers, creeks, intracoastal waterways, as well as canals and channels of all types, which are tributary to or connected by other waterways with the Atlantic Ocean south of Chesapeake Bay or with the Gulf of Mexico east and south of St. Marks, Florida.

(2) *United States property.* All river and harbor lands owned by the United States in or along the waterways described in subparagraph (1) of this paragraph, including lock sites and all structures thereon, other sites for Government structures and for the accommodation and use of employees of the United States, and rights of way and spoil disposal areas to the extent of Federal interest therein.

(3) *Vessels and rafts.* The term "vessel" as used in this section includes all floating things moved over these waterways other than rafts.

(b) *Waterways*—(1) *Fairway.* A clear channel shall at all times be left open to permit free and unobtructed navigation by all types of vessels and rafts that normally use the various waterways or sections thereof. The District Commander may specify the width of the fairway required in the various waterways under his charge.

(2) *Stoppage in waterway, anchorage or mooring.* (i) No vessels or rafts shall anchor or moor in any of the land cuts or other narrow parts of the waterway, except in case of an emergency. Whenever it becomes necessary for a vessel or raft to stop in any such portions of the waterway it shall be securely fastened to one bank and as close to the bank as possible. This shall be done only at such a place and under such conditions as will not obstruct or prevent the passage of other vessels or craft. Stoppages shall be only for such periods as may be necessary.

(ii) No vessel or raft will be allowed to use any portion of the fairway as a mooring place except temporarily as authorized above without the written permission from the District Commander.

(iii) When tied up, all vessels must be moored by bow and stern lines. Rafts and tows shall be secured at sufficiently close intervals to insure their not being drawn away from the bank by winds, currents or the suction of passing vessels. Tow lines shall be shortened so that the different parts of the tow shall be as close together as possible. In narrow sections, no vessel or raft shall be tied abreast of another.

(iv) Lights shall be displayed in accordance with provisions of the Inland Rules and the Pilot Rules for Inland Waters.

(v) No vessel, even if fastened to the bank as prescribed in subdivision (i) of this subparagraph, shall be left without a sufficient crew to care for it properly.

(vi) Vessels will not be permitted to load or unload in any of the land cuts except as a regular established landing or wharf without written permission secured in advance from the District Commander.

(vii) No vessel, regardless of size, shall anchor in a dredged channel or narrow portion of a waterway for the purpose of fishing, if navigation is obstructed, thereby.

(viii) Except in cases of emergency the dropping of anchors, weights, or other ground tackle, within areas occupied by submarine cable or pipe crossings, is prohibited. Such crossings will ordinarily be marked by signboards on each bank of the shore or indicated on coast charts.

(3) *Speed.* (i) Vessels shall proceed at a speed which will not endanger other vessels or structures and will not interfere with any work in progress incident to maintaining, improving, surveying or marking the channel.

(ii) Official signs indicating limiting speeds through critical portions of the waterways shall be strictly obeyed.

(iii) Vessels approaching and passing through a bridge shall so govern their speed as to insure passage through the bridge without damage to the bridge or its fenders.

(iv) A vessel being overtaken by another shall slacken speed sufficiently to permit the passage to be effected with safety to both vessels.

(4) *Assembly and handling of tows.*

(i) All vessels drawing tows and equipped with rudders shall use two tow lines or a bridle and shorten them to the greatest possible extent so as to have full control at all times. The various parts of a tow shall be securely assembled with the individual units connected by lines as short as practicable. If necessary, as in the case of lengthy or cumbersome tows or tows in restricted channels, the

District Commander may require that tows be broken up and may require the installation of a rudder, drag or other approved steering device on the tow in order to avoid obstructing navigation or damaging the property of others, including aids to navigation maintained by the United States or under its authorization, by collision or otherwise.

(ii) No tow shall be drawn by a vessel that has insufficient power or crew to permit ready maneuverability and safe handling.

(iii) Tows desiring to pass a bridge shall approach the opening along the axis of the channel so as to pass through without danger of striking the bridge or its fenders. No vessel or tow shall navigate through a drawbridge until the movable span is fully opened.

(iv) In the event that it is evident to the master of a towing vessel that a tow cannot be safely handled through a bridge, it will be brought to anchor and the towed vessels will be taken through the bridge in small units, or singly if necessary, or the tow will wait until navigation conditions have improved to such an extent that the tow can pass through the bridge without damage.

(5) *Projections from vessels.* No vessel carrying a deck load which overhangs or projects over the side of said vessel, or whose rigging projects over the side of the vessel so as to endanger passing vessels, wharves or other property, will enter or pass through any of the narrow parts of the waterway.

(6) *Meeting and passing.* Vessels, on meeting or overtaking, shall give the proper signals and pass in accordance with the Inland Rules and the Pilot Rules for Inland Waters. Rafts shall give to vessels the side demanded by proper signal. All vessels approaching dredges, or other plant engaged on improvements to a waterway, shall give the signal for passing and slow down sufficiently to stop if so ordered or if no answering signal is received. On receiving the answering signal, they shall then proceed to pass at a speed sufficiently slow to insure safe navigation.

NOTE.—The Corps of Engineers also has regulations dealing with this section in 33 CFR Part 207.

§ 162.70 Biscayne Bay, Fla.; Seaplane Operating Area, Coast Guard, Miami, Fla.

(a) *The seaplane operating area*—(1) *The area.* Beginning at Dinner Key Seaplane Channel Approach Light 2; thence 54° for approximately 9,900 feet to Biscayne Bay Range Three Front Light C; thence 178° for approximately 4,350 feet to Biscayne Bay Range Three Rear Light; thence 182° for approximately 12,750 feet to Southwest Point Daybeacon 26; thence 270° for approximately 13,500 feet to a position in Biscayne Bay at latitude 25°41'24", longitude 80°13'30"; thence 30° for approximately 9,900 feet to Dinner Key Channel Light 1; and thence 21° for approximately 3,050 feet to the point of beginning.

NOTE: All bearings are referred to true meridian.

(2) *The regulations.* (i) Watercraft may navigate, anchor, or moor within the operating area. Fishing will be permitted.

(ii) Watercraft utilizing the area during hours from sunset to sunrise, or during periods of low visibility, shall comply strictly with existing regulations of the Inland Rules and the Motorboat Act of 1940.

(iii) Watercraft within the operating area must recognize the fact that the maneuverability of aircraft on the surface is relatively limited as compared to that of vessels or vehicles specifically designed for surface operations. Therefore, it is essential that occupants of all watercraft shall, when in the seaplane operating area, exercise due vigilance and be alert for the presence of aircraft either taxiing on the surface, or approaching for landings and takeoffs within the area.

(iv) Seaplane landings and takeoffs will be covered by the presence of a station crash boat whenever possible. Under unusual and infrequent circumstances seaplanes may be limited to a particular heading or portion of the operating area, and watercraft in that vicinity may be requested by the crash boat to yield right-of-way to the aircraft for the particular maneuver involved. Under such unusual conditions watercraft shall comply with the request made by the crash boat for the mutual safety of boats and aircraft.

(b) *Notices.* Notices covering the regulations in this section will be posted at the nearby marina and wharves and at boat basins in Miami and adjoining towns.

§ 162.75 All waterways tributary to the Gulf of Mexico (except the Mississippi River, its tributaries, South and Southwest Passes and the Atchafalaya River) from St. Marks, Fla., to the Rio Grande.

(a) The regulations in this section shall apply to:

(1) *Waterways.* All navigable waters of the U.S. tributary to or connected by other waterways with the Gulf of Mexico between St. Marks, Fla., and the Rio Grande, Tex. (both inclusive), and the Gulf Intracoastal Waterway; except the Mississippi River, its tributaries, South and Southwest Passes, and the Atchafalaya River above its junction with the Morgan City-Port Allen Route.

(2) *Bridges, wharves, and other structures.* All bridges, wharves, and other structures in or over these waterways.

(3) *Vessels.* The term "vessels" as used in this section includes all floating craft other than rafts.

(b) Waterways:

(1) A clear channel shall at all times be left open to permit free and unobstructed navigation by all types of vessels and tows normally using the various waterways covered by the regulations of this section.

(2) Fairway: The District Commander may specify the width of the fairway required in the various waterways under his charge.

(3) Anchoring or mooring:

(i) Vessels or tows shall not anchor or moor in any of the land cuts or other narrow parts of the waterway, except in an emergency, or with permission of the District Commander. Whenever it becomes necessary for a vessel or tow to stop in any such portions of the waterway, it shall be securely fastened to one bank and as close to the bank as possible. This shall be done only at such a place and under such conditions as will not obstruct or prevent the passage of other vessels or tows. Stoppages shall be only for such periods as may be necessary.

(ii) When tied up individually, all vessels and tows shall be moored by bow and stern lines. Tows shall be secured at sufficiently frequent intervals to insure their not being drawn away from the bank by winds, currents, or the suction of passing vessels. Lines shall be shortened so that the various barges in a tow will be as close together as possible.

(iii) Lights shall be displayed in accordance with provisions of the Inland Rules and the Pilot Rules for Inland Waters.

(iv) Whenever any vessel or tow is moored to the bank (subdivision (i) of this subparagraph) at least one crew member shall always remain on board to see that proper signals are displayed and that the vessel or tow is properly moored at all times.

(v) No vessel, regardless of size, shall anchor in a dredged channel or narrow portion of a waterway for the purpose of fishing if navigation is obstructed thereby.

(4) Speed: Speeding in narrow sections is prohibited. Official signs indicating limited speeds shall be obeyed. Vessels shall reduce speed sufficiently to prevent damage when passing over vessels or structures in or along the waterway.

(5) Size, assembly, and handling of tows:

(i) On waterways 150 feet wide or less, tows which are longer than 1,180 feet, including the towing vessel, but excluding the length of the hawser, or wider than one-half of the bottom width of the channel or 55 feet, whichever is less, will not be allowed, except when the District Commander has given special permission or the waterway has been exempted from these restrictions by the District Commander. Before entering any narrow section of the Gulf Intracoastal Waterway, tows in excess of one-half the channel width, or 55 feet, will be required to stand by until tows which are less than one-half the channel width or 55 feet wide have cleared the channel. When passing is necessary in narrow channels, overwidth tows shall yield to the maximum. Separate permission must be received from the District Commander for each overlength or overwidth movement. In addition, the following exceptions are allowed:

(ii) Gulf Intracoastal Waterway—Between mile 6.2 EHL (Inner Harbor Navigation Canal Lock) and mile 33.6 EHL tows of 78 feet in width will be allowed.

(iii) Gulf Intercoastal Waterway—Between mile 33.6 EHL and the Mobile Bay Ship Channel, tows of 108 feet in width will be allowed if under 750 feet in length including the towboat but excluding the length of the hawser.

(iv) Gulf Intracoastal Waterway—Mobile Bay Ship Channel to St. Marks, Fla., for tows made up of empty barges on the off or shallow side, a width of 75 feet will be allowed.

(v) All vessels pulling tows not equipped with rudders in restricted channels and land cuts shall use two towlines, or a bridle on one towline, shortened as much as safety of the towing vessel permits, so as to have maximum control at all times. The various parts of a tow shall be securely assembled with the individual units connected by lines as short as practicable. In open water, the towlines and fastenings between barges may be lengthened so as to accommodate the wave surge. In the case of lengthy or cumbersome tows, or tows in restricted channels, the District Commander may require that tows be broken up, and may require the installation of a rudder or other approved steering device on the tow in order to avoid obstructing navigation or damaging the property of others. Pushing barges with towing vessel astern, towing barges with towing vessel alongside, or pushing and pulling barges with units of the tow made up both ahead and astern of the towing vessel are permissible provided that adequate power is employed to keep the tows under full control at all times. No tow shall be drawn by a vessel that has insufficient power or crew to permit ready maneuverability and safe handling.

(6) Projections from vessels: Vessels or tows carrying a deck load which overhangs or projects over the side, or whose rigging projects over the side, so as to endanger passing vessels, wharves, or other property, shall not enter or pass through any of the narrow parts of the waterway without prior approval of the District Commander.

(7) Meeting and passing: Passing vessels shall give the proper signals and pass in accordance with the International Rules, the Inland Rules and the Pilot Rules for Inland Waters, where applicable. At certain intersections where strong currents may be encountered, sailing directions may be issued through navigation bulletins or signs posted on each side of the intersections.

NOTE.—The Corps of Engineers also has regulations dealing with this section in 33 CFR 207.

§ 162.80 Mississippi River below mouth of Ohio River, including South and Southwest Passes.

(a) *Mooring on Mississippi River between Miles 314.5 AHP and 340.0 AHP.* (1) No vessel or craft shall moor along either bank of the Mississippi River between Mile 314.5 AHP and Mile 340.0 AHP except in case of an emergency, pursuant to an approved navigation permit, or as authorized by the District Commander. Vessels may be moored any place outside the navigation channel in this reach in case of an emergency and then for only the minimum time required to terminate the emergency. When so moored, all vessels shall be securely tied with bow and stern lines of sufficient strength and fastenings to withstand currents, winds, wave action, suction from passing vessels or any other forces which might cause the vessels to break their morings. When vessels are so moored, a guard shall be on board at all times to insure that proper signals are displayed and that the vessels are securely and adequately moored.

(2) Vessels may be moored any time at facilities constructed in accordance with an approved navigation permit or as authorized by the District Commander. When so moored, each vessel shall have sufficient fastenings to prevent the vessels from breaking loose by wind, current, wave action, suction from passing vessels or any other forces which might cause the vessels to break their mooring. Number of vessels in one fleet and the width of the fleet of vessels tied abreast shall not extend into the fairway or be greater than allowed under the permit.

(3) Mariners should report immediately by radio or fastest available means to the lockmaster at Old River Lock or to any Government patrol or survey boat in the vicinity any emergency mooring or vessels drifting uncontrolled within the area described in subparagraph (1) of this paragraph. It is the responsibility and duty of the master of a towing vessel releasing or mooring a vessel in this reach of the Mississippi River to report such action immediately.

NOTE.—The Corps of Engineers also has regulations dealing with this section in 33 CFR Part 207.

§ 162.85 Yazoo Diversion Canal, Vicksburg, Miss., from its mouth at Kleinston Landing to Fisher Street; navigation.

(a) *Speed.* Excessive speeding is prohibited. A vessel shall reduce its speed sufficiently to prevent any damage when approaching another vessel in motion or tied up, a wharf or other structure, works under construction, plant engaged in river and harbor improvement, levees, floodwalls withstanding floodwaters, buildings submerged or partially submerged by high waters, or any other structure or improvement likely to be damaged by collision, suction, or wave action.

NOTE.—The Corps of Engineers also has regulations dealing with this section in 33 CFR Part 207.

§ 162.90 White River, Arkansas Post Canal, Arkansas River, and Verdigris River between Mississippi River, Ark., and Catoosa, Okla.

(a) The regulations in this section shall apply to:

(1) *Waterways.* White River between Mississippi River and Arkansas Post Canal, Ark.; Arkansas Post Canal, Ark.; Arkansas River between Arkansas Post Canal, Ark., and Verdigris River, Okla.; Verdigris River between Arkansas River and Catoosa, Okla.; and reservoirs on these waterways between Mississippi River, Ark., and Catoosa, Okla.

(2) *Bridges, wharves and other structures.* All bridges, wharves, and other structures in or over the waterways described in subparagraph (1) of this paragraph.

(3) *Vessels and rafts.* The term "vessels" as used in this section includes every description of watercraft used, or capable of being used, as a means of transportation on water, other than rafts.

(b) Waterways:

(1) *Fairway.* A clear channel shall at all times be left open to permit free and unobstructed navigation by all types of vessels and rafts that normally use the various waterways or sections thereof. The District Commander may specify the width of the fairway required in the waterways under his charge.

(2) *Anchoring or mooring in waterway.* (i) No vessels or rafts shall anchor or moor in any of the land cuts or other narrow parts of the waterway, except in an emergency. Whenever it becomes necessary for a vessel or raft to stop in any such portions of the waterway, it shall be securely fastened to one bank and as close to the bank as possible. This shall be done only at such a place and under such conditions as will not obstruct or prevent the passage of other vessels or rafts. Stoppages shall be only for such periods as may be necessary.

(ii) Except temporarily, as authorized in subdivision (i) of this subparagraph, no vessel or raft will be allowed to use any portion of the fairway as a mooring place without written permission from the District Commander.

(iii) When tied up individually, all vessels shall be moored by bow and stern lines. Rafts and tows shall be secured at sufficiently close intervals to insure their not being drawn away from the bank by winds, currents, or the suction of passing vessels. Towlines shall be shortened so that the different parts of the tow will be as close together as possible. In narrow sections, no vessel or raft shall be tied abreast of another if the combined width of vessels or rafts is greater than 70 feet.

(iv) When a vessel is moored under an emergency condition, as provided in subdivision (i) of this subparagraph, at least one crew member shall remain in attendance to display proper lights and signals and tend the mooring lines. The crew member shall be provided with an adequate means of communication or signalling a warning in the event that, for any reason, the vessel or tow should go adrift. Immediately after completion of the emergency mooring, the lockmaster of the first lock downstream shall be notified of the character and cargo of the vessel and the location of such mooring.

(v) Vessels will not be permitted to load or unload in any of the land cuts, except at a regular established landing or wharf, without written permission secured in advance from the District Commander.

(vi) Except in an emergency, no vessel or raft shall anchor over revetted banks of the waterway, nor shall any type vessel

except launches and other small craft land against banks protected by revetment except at regular commercial landings.

(3) *Speed.* (i) Excessive speed in narrow sections is prohibited. Official signs indicating limiting speeds through critical sections shall be strictly obeyed.

(ii) When approaching and passing through a bridge, all vessels and rafts, regardless of size, shall control their speed so as to insure that no damage will be done to the bridge or its fenders.

(iii) Within the last mile of approach to unattended, normally open automatic, movable span bridges, the factor of river flow velocity, of vessel (and tow) velocity, and of vessel power and crew capability are never to be permitted to result in a condition whereby the movement of vessel (and tow) cannot be completely halted or reversed within a 3-minute period.

(iv) A vessel shall reduce its speed sufficiently to prevent any damage when approaching another vessel in motion or tied up, a wharf or other structure, works under construction, plant engaged in river and harbor improvement, levees withstanding floodwaters, buildings submerged or partially submerged by high waters, or any other manner of structure or improvements likely to be damaged by collision, suction, or wave action.

(4) *Assembly and handling of tows.* (i) All vessels drawing tows not equipped with rudders in restricted channels and land cuts shall use two towlines, or a bridle on one towline, shortened to the greatest possible extent so as to have maximum control at all times. The various parts of a tow shall be securely assembled with the individual units connected by lines as short as practicable. In open water, the towlines and fastenings between barges may be lengthened so as to accommodate the wave surge. In the case of length or cumbersome tows, or tows in restricted channels, the District Commander may require that tows be broken up, and may require the installation of a rudder or other approved steering device on the tow in order to avoid obstructing navigation or damaging the property of others. Pushing barges with towing vessel astern, towing barges with towing vessel alongside, or pushing and pulling barges with units of the tow made up both ahead and astern of the towing vessel is permissible provided that adequate power is employed to keep the tow under full control at all times.

(ii) No tow shall be drawn by a vessel that has insufficient power or crew to permit ready maneuverability and safe handling.

(iii) No vessel or tow shall navigate through a drawbridge until the movable span is fully opened.

(5) *Projections from vessels.* No vessels carrying a deck load which overhangs or projects over the side, or whose rigging projects over the side, so as to endanger passing vessels, wharves, or other property, shall enter or pass through any of the narrow parts of the waterway.

(6) *Meeting and passing.* Vessels on meeting or overtaking shall give the proper signals and pass in accordance with the Inland Rules and the Pilot Rules for Inland Waters. Rafts shall give to vessels the side demanded by proper signal. All vessels approaching dredges or other plant engaged on improvements to a waterway shall give the signal for passing and slow down sufficiently to stop if so ordered or if no answering signal is received. On receiving the answering signal, they shall then pass at a speed sufficiently slow to insure safe navigation. Vessels approaching an intersection or bend where the view is obstructed must exercise due caution. At certain intersections where strong currents may be encountered, sailing directions may be issued from time to time through navigation bulletins or signs posted on each side of the intersections which must be observed.

NOTE.—The Corps of Engineers also has regulations dealing with this section in 33 CFR Part 207.

§ 162.100 Ohio River at Louisville, Ky.; restricted area.

(a) *The area.* The portion of the Ohio River from the Clark Memorial (Highway) Bridge, Mile 603.5, downstream to McAlpine Dam, Mile 604.4.

(b) *The regulations.* (1) no pleasure or fishing craft shall be operated within the restricted area at any time without prior permission of the Captain of the Port, Louisville, except in case of emergency and except:

(i) For passage through the Louisville and Portland Canal;

(ii) For launching and docking at the Louisville, Kentucky Wharf within the restricted area; and

(iii) During open river conditions.

§ 162.105 Missouri River; administration and navigation.

(a) *Supervision.* The District Commander, Second Coast Guard District, has certain administrative supervision over reaches of the river within the limits of his district and is charged with the enforcement under his direction of emergency regulations to govern navigation on the river.

(b) *Navigation.* During critical flood stages on any particular limited reach of the Missouri River when lives, floating plant, or major shore installations and levees are endangered, the District Commander in charge of the locality shall have the authority to declare the reach of the river closed to navigation or to prescribe temporary speed regulations whenever it appears to him that such action is necessary to prevent immediate human suffering or to mitigate major property damage or destruction from wave action. The period of closure and all speed regulations prescribed by the District Commander shall be for the duration of the emergency as determined by the District Commander and shall be terminated at the earliest practicable time that improved river conditions permit.

§ 162.110 Duluth-Superior Harbor, Minn., and Wis.; use, administration, and navigation, and bridge regulations.

(a) *Navigation regulations*—(1) *Speed of vessels.* (i) Vessels will not be restricted as to speed while passing through the channels between entrance piers, but vessels of 300 gross tons and upward shall not exceed 8 miles per hour while running through any of the dredged channels within the harbor.

(ii) When approaching a bridge (excepting the Duluth Ship Canal bridge) the speed shall be reduced enough to enable the vessel, in case the draw fails to open, to come to a dead stop without striking the bridge.

(iii) No restrictions as to speed are required for passing the Duluth Ship Canal bridge. However, vessels approaching this bridge should make such reductions in speed as the currents and weather conditions will permit and still allow for safe passage through the canal.

(iv) While passing all other bridges under ordinary conditions of weather the speed should not exceed 6 miles per hour. A greater speed will be allowed when necessary for steerage as when running light in a wind.

(v) A steamer must employ a tug or tugs whenever the conditions of weather or currents make the passage difficult or dangerous to either the vessel or the bridge.

(2) *Passing in Duluth Ship Canal.* Self-propelled vessels exceeding 300 gross tons, and barges or scows exceeding (light) 100 displacement tons, shall not pass within the canal. Inbound vessels shall have the right of way.

(3) *Anchorage of vessels.* (i) Vessels shall not anchor in the entrance canals, or in any of the navigable channels, except in the harbor basins, and then only where not in the way of passing vessels.

(ii) Vessels and rafts shall not be anchored or otherwise fastened where they are liable to swing into the channels by reason of a wind or current.

(iii) The position and arrangement of vessels lying at anchor in the harbor basin shall be subject to the direction of the District Commander, or his authorized representatives, and vessels shall, when so directed, promptly shift their position to another part of the basin.

(4) *Dragging anchors.* No vessel shall be towed while the anchor of such vessel is down or dragging at the bottom of the channel.

(5) *Towing through bridges.* Freight steamers shall not tow consorts astern while passing through the bridges of this harbor, the Duluth Ship Canal bridge excepted. Towing alongside the steamer will, however, be permitted.

(6) *Patrol signals.* (i) Three short blasts of the signal whistle when sounded from a patrolling vessel will indicate that the vessel to which such signal is given is proceeding at too high a rate of speed, and such vessel must immediately moderate its speed.

(ii) Three long blasts of the signal whistle followed by two short blasts when sounded from a patrolling vessel, will indicate that the vessel to which such signal is given must stop until further orders from the patrolling vessel.

(iii) One long blast, followed by four short blasts, when sounded from the patrolling vessel, will indicate that the vessel to which such signal is given may proceed on its course.

(7) *Other requirements.* (i) No vessel shall be moored to any United States pier.

(ii) No material of any kind shall be loaded on or loaded from the United States piers, except for the use of the United States, unless by special permission of the Captain of the Port.

(iii) Vessels shall take great care not to run into, strike, rub against, or otherwise injure the United States piers, buoys, or beacons in the harbor.

(iv) Dredges and attending scows and tugs are expected and required to give half the channel for passing vessels, and the latter are required to do the same when passing the dredges or other craft.

(v) Where there are two or more channels leading to a given point, in one of which improvement work is going on, the latter channel may be temporarily closed to navigation by the District Commander after due notice.

§ 162.115 Keweenaw Waterway, Mich.; use, administration, and navigation.

(a) *Authority.* The movement of all vessels, rafts, and floating craft of every description which makes use of this waterway, the approaches thereto, and connecting waters, shall be under the general direction of the District Commander, Ninth Coast Guard District.

(b) *Speed of vessels.* The speed of vessels of more than 20 tons shall not exceed eight statute miles per hour between Lily Pond and Pilgrim Point.

(c) *Towing.* Boats engaged in towing shall use towlines of such number, type, and length as will insure full control over their tows at all times and the safe passing of other craft or canal structures and markers.

(d) *Channel markers.* Masters of vessels shall keep careful watch when passing aids to navigation, and should any be accidentally displaced they shall report this fact to the local United States Coast Guard Station.

(e) *Harbors of refuge.* Two mooring basins of limited area are located in the waterway, Portage River Harbor of Refuge near the Portage entry, and Lily Pond Harbor of Refuge between Portage Lake and the Upper Entrance. Craft using these harbors are required to make fast to the mooring piers, and except in case of storms or breakdowns shall not use the harbors longer than 24 hours without special permission from the Captain of the Port, Duluth. The position and arrangement of vessels moored in the harbors will be subject to the direction of the Captain of the Port.

(f) *Mooring to Government structures.* No vessels or craft of any kind shall moor or tie up to any Government structures other than the mooring piers which are provided for the use of vessels at the harbors of refuge.

(g) *Damage to Government structures.* The regulations in this section shall not affect the liability of the owners and operators of vessels for any damage caused by their operations to breakwaters, piers, and revetments. Vessels shall use great care not to strike or injure these structures.

(h) *Use or injury of Government property.* The occupancy or use of Government structures and of Government lands adjoining the waterway for private business of any kind, storage of property, or residence purposes is prohibited. The injury or defacement of Government buildings, structures, trees, or property of any kind is prohibited.

(i) *Obstructing navigation.* No person shall willfully or carelessly obstruct or hinder the free navigation of the waterway.

§ 162.120 Harbors on Lake Michigan; speed of vessels.

(a) *East shore.* The speed of all vessels and other watercraft entering or leaving the harbors of Michigan City, Ind.; St. Joseph, South Haven, Saugatuck, Holland (Lake Macatawa), Grand Haven, Muskegon, White Lake, Pentwater, Ludington, Manistee, Portage Lake (Manistee County), Frankfort, Charlevoix, and Petoskey, Mich., shall be reduced to and shall not exceed a rate of 8 miles per hour.

(b) *West shore.* The speed of all vessels and other watercraft entering or leaving the harbors of Menominee, Mich. and Wis.; Algoma, Kewaunee, Two Rivers, Manitowoc, Sheboygan, Port Washington, Milwaukee, Racine, and Kenosha, Wis., and Waukegan, Ill., shall be reduced to and shall not exceed a rate of 4 miles per hour.

§ 162.125 Sturgeon Bay and Lake Michigan Ship Canal, Wis., use and navigation.

(a) *Supervision.* The movement of all boats and floating things in the canal and in the approaches thereto shall be under the direction of the Captain of the Port, Milwaukee.

(b) *Signals.* On entering the canal at either entrance, steamers or tugs must blow their whistles for 1 minute in order to warn craft approaching from opposite direction and give them time to guard against collisions, by tying up if necessary. All steamers approaching others going in the opposite direction shall slacken speed so as to pass in safety. Compliance is required with rule V of the Inland Rules and the Pilot Rules for Inland Waters.

Rule V. Whenever a steamer is nearing a short bend or curve in the channel where, from the height of the banks or other cause, a steamer approaching from the opposite direction cannot be seen for a distance of half a mile, the pilot of such steamer, when he shall have arrived within half a mile of such curve or bend, shall give a signal by one long blast of the steam whistle, which signal shall be answered by a similar blast by the pilot of any approaching steamer that may be within hearing. Should such signal be so answered by a steamer upon the farther side of such bend, then the usual signals for the meeting and passing shall immediately be given and answered; but if the first alarm signal of such pilot be not answered, he is to consider the channel clear and govern himself accordingly.

(c) *Speed.* The rate of speed while passing through the canal shall not exceed 5 miles per hour.

(d) *Keeping in the center.* The center must be kept all the way through, except in passing other craft. In case of grounding, the rapid or strong working of boat's engines is strictly forbidden.

(e) *Draft of boats.* No vessel shall enter the canal whose actual draft exceeds the least depth of water in the channel of the canal as given by the Captain of the Port or his authorized representative.

(f) *Turning around in canal.* Tugs or other steam vessels exceeding 150 feet in length are forbidden to turn around or to attempt to turn around in the canal.

(g) *Navigating the canal.* All vessels and boats are forbidden: (1) To enter the canal two or more abreast. (2) To pass another while going in the same direction in the canal. (3) To pass the canal in more than one line going each way. (4) To obstruct the canal in any way or to delay, by slow passage through the canal or by any other means, the progress of other vessels. (5) To attempt passing the canal in the face of running ice, except at their own risk and liability to make good any damage to the canal or its banks, which may result from such attempt.

(h) *To shorten sail.* No vessel, however propelled or being towed, shall pass through the canal with sail or sails up, except sail vessels running with a fair wind. Every craft that sails into or attempts to sail into or through the canal must be responsible for any damage resulting therefrom.

(i) *Towing.* (1) All boats engaged in towing vessels that are laden, or partially laden, shall use two towlines and shorten them to the greatest extent, so as to have full control of their tows, and thereby avoid accident while meeting or otherwise passing other craft. Boats that are towing vessels without cargo need use but one towline, but the line between the steamer and the first vessel or barge of the tow must not exceed 100 feet in length. Towing more than one craft abreast, or rafts of greater width than 50 feet, is forbidden.

(2) Towing in the same tow of more than one scow or barge of 1,000 tons or more, of a draft not exceeding 10 feet when loaded, whose load is carried on the deck, is hereby prohibited, except upon condition that there shall be two towlines between each vessel in the tow, the lines to be secured to the starboard and port quarters of each craft and to be of a length not to exceed 25 feet in the clear.

(j) *Harbor of refuge.* The anchoring or mooring of any craft in any part of the canal, except at such place or places as may be directed by the Captain of the

Port or his authorized representative, is strictly forbidden. The master of any craft entering into the canal for shelter shall report such fact at once to the Captain of the Port, who will thereupon assign a mooring to such craft. Moorings will usually be assigned at the westerly end of the canal. Under no circumstances shall vessels, other than those on Government business, be permitted to moor or make fast to either of the converging piers or any of the appurtenances thereto, at the Lake Michigan entrance to the canal. Should it become necessary, in the judgment of the Captain of the Port, for a vessel moored in the canal to change its moorings, the vessel shall be promptly moved as may be directed by the Captain of the Port.

(k) *Injury to cribs, piers, and sheet piling.* Vessels shall use great care not to strike or injure the cribs, piers, sheet piling, or any structure pertaining to the canal.

(l) *Obstructing navigation.* Anyone who shall willfully or through carelessness in any way obstruct the free navigation of the canal, or by the violation of any of the laws or regulations governing the canal and those using it, delay or inconvenience any boat having the right to use the canal, shall be responsible for all damages and delays and for all expenses of removing the obstructions.

NOTE.—The Corps of Engineers also has regulations dealing with this section in 33 CFR Part 207.

§ 162.130 Waukegan Harbor, Ill.

(a) All vessels or other craft are forbidden to lie at anchor in the basin or channel of Waukegan Harbor except for refuge from storms, or in any way to obstruct free navigation of the harbor.

NOTE.—The Corps of Engineers also has regulations dealing with this section in 33 CFR Part 207.

§ 162.135 Connecting waters of the Great Lakes from Lake Huron to Lake Erie; use, administration and navigation.

(a) *General*—(1) *Application and supervision.* The regulations in this section shall apply to such of those waters as are within the United States. These waters are under the general supervision of the District Commander, Ninth Coast Guard District.

(2) *Local arrangements.* The District Commander may make local arrangements with authorized Canadian officials in the interest of safety of operations, to facilitate movement of traffic, to avoid disputes as to jurisdiction and to take necessary action and render assistance in emergencies.

(3) *Patrol vessels.* The anchorage and movement of all vessels shall be under the direction and subject to the orders of officers in charge of partol vessels. The following sound signals shall be used by patrol vessels as required:

(i) Three long blasts of a whistle or horn, which signal may also be used by dredges, drill scows, derrick scows, sweep scows, and other floating plant engaged in the maintenance and improvement or investigation of channels, to indicate that the vessel to which it is given is moving at too high a rate of speed; such vessel shall immediately slacken its speed.

(ii) Four long blasts of a whistle or horn, to indicate that the vessel to which the signal is given must stop until further orders are received from the patrol vessel.

(iii) One long blast, followed by four short blasts, of a whistle or horn, to indicate that the vessel to which the signal is given may proceed on its course. (Radio telephone may be used in lieu of sound signals.)

(4) *Other obligations.* The regulations in this section shall not be considered to cover all the obligations imposed by law upon vessels and their operators, and shall not be construed as relieving the owners or operators of vessels from any penalties which may be incurred in the violation of the laws relating to navigation on the Great Lakes and their connecting waters or the regulations issued pursuant to such laws.

(5) *Definitions.* As used in this section, the terms:

(i) "St. Clair River" shall apply to the connecting waters of the Great Lakes from the Lakeward limits of the improved navigation channels at the foot of Lake Huron to the St. Clair Flats Canal Light 2 at the upper end of Lake St. Clair.

(ii) "Lake St. Clair" shall apply to the channels lying westerly from the International Boundary from the St. Clair Flats Canal Light 2 to Windmill Point Light at the head of the Detroit River.

(iii) "Upper Detroit River" shall apply to that portion of the Detroit River extending from Windmill Point Light to Fighting Island North Light.

(iv) "Lower Detroit River" shall apply to that portion of the river between Fighting Island North Light and the lakeward limits of the improved navigational channels at the head of Lake Erie.

(v) "Patrol Vessel" means a vessel operated by the United States Coast Guard, the Canadian Coast Guard, the Royal Canadian Mounted Police or a harbor master.

(b) *Length of towlines.* On the connecting waters of the Great Lakes between the Lake Huron Lightship and the southerly limits of the improved channels of the Detroit River, terminating in Lake Erie, the length of towlines shall not exceed by more than 50 feet the length of the scow, barge, vessel, or other craft being towed: *Provided,* That no scow, barge, vessel or other craft shall be required to have a towline less than 250 feet. The length of the towline shall be measured from the stern of one vessel to the bow of the following vessel.

(c) *Routes*—(1) *St. Clair River in vicinity of Port Huron and Sarnia.* Vessels in transit shall pass to right of the black and white vertical striped buoy, situated just above the mouth of the Black River and known as Port Huron Traffic Lighted Buoy. Downbound vessels shall navigate the west or American Channel below Sarnia Elevator Light. Upbound vessels shall navigate the Canadian Channel east of the Port Huron Traffic Lighted Buoy.

NOTE.—Channels east of Stagg Island, east of the St. Clair Middle Ground and the South East Bend Channel below the St. Clair Cut-Off are no longer maintained.

(2) *Lower Detroit River south of Livingstone Channel Upper Entrance Light.* Downbound vessels shall navigate the Livingstone Channel (west of Bois Blanc Island) except that downbound passenger vessels may use the Amherstburg Channel (east of Bois Blanc Island) and except as hereinafter provided. All downbound vessels shall enter Lake Erie through the East Outer Channel east of Detroit River Light except those whose draft permits may enter Lake Erie through the West Outer Channel west of Detroit River Light. Upbound vessels shall enter from Lake Erie by way of the East Outer Channel east of Detroit River Light and shall use the Amherstburg Channel, except that under certain conditions during the winter navigation season two-way traffic will be allowed in Livingstone Channel and in the West Outer Channel west of Detroit River Light. The conditions for use of these downbound channels, including the opening and closing dates for two-way traffic, will be established each year by the District Commander.

(3) *Vessels exempted.* The regulations in this paragraph do not apply to public vessels of the United States, craft employed upon river and harbor improvement work, and vessels under 100 gross tons or vessels making local stops along these routes.

(d) *Speed.* Commercial vessels (including tug and barge combinations) 65 feet, or greater, in length shall not exceed the following speeds measured in statute miles per hour over the bottom:

(1) In the St. Clair River:

(i) Between Fort Gratiot Light and Stag Island Upper Junction Lighted Buoy, 9 m.p.h. for upbound vessels and 12 m.p.h. for downbound vessels.

(ii) Between Stag Island Upper Junction Lighted Buoy and Harsens Island Rear Range Light, 12 m.p.h. for both upbound and downbound vessels.

(iii) Between Harsens Island Rear Range Light and St. Clair Cut-off Channel Lt2, F1R, 10 m.p.h. for both upbound and downbound vessels.

(2) In the Detroit River:

(i) Between the black turn buoy (lat. 42°22.0′ N., long. 82°54.0′ W.—Lake St. Clair), and Fighting Island South Light, 12 m.p.h. for upbound vessels and 14 m.p.h. for downbound vessels.

(ii) Between Fighting Island South Light and Detroit River Light 12 m.p.h. for both upbound and downbound vessels.

(3) [Reserved]

(4) In the St. Clair River when the stage of Lake Huron exceeds two (2) feet above International Great Lakes Datum, the District Commander may, if he deems it necessary to protect life and property, including floating plant or shore installations, reduce the allowable maximum speed in all or any part of the

river. Temporary speed limits so prescribed shall become effective through publication in a Notice to Mariners and may be modified or likewise rescinded by the District Commander as changing water stages permit or make necessary.

(e) *Passing.* (1) In the St. Clair River and the Lower Detroit River, any vessel overtaking a tug with a tow moving in the same direction may pass such tow after an exchange of signals indicating on which side the vessel desires to pass, and the pilot of the tug shall haul with the tow to the proper side of the channel to provide passing room.

(2) In the St. Clair River, no vessel of 500 gross tons or over shall pass or attempt to pass another vessel of 500 gross tons or over moving in the same direction within the following limits: (i) *Downbound.* From the first buoy above Fort Gratiot Light to Port Huron Traffic Lighted Buoy; and from Walpole Island Upper Light to the St. Clair Flats Canal Light 2.

(ii) *Upbound.* From the St. Clair Flats Canal Light 2 to Walpole Island Upper Light; and from Port Huron Traffic Lighted Buoy to the first buoy above Fort Gratiot Light.

(3) In the Lower Detroit River between Fighting Island South Light and Bar Point Pier Light 29D, no vessel shall pass or attempt to pass another vessel or vessels moving in either the same or opposite direction when more than two vessels would be abreast.

(4) There shall be a time interval of not less than five (5) minutes between any two vessels entering or navigating the Livingstone Channel between the Upper Entrance Light and Bar Point Pier Light 29D except that tugs without tows and vessels under 100 gross tons are exempted from this rule. This requirement shall not apply under emergency conditions such as might exist when the vessel ahead is proceeding below the speed limits due to engine breakdown or other difficulties, provided the vessel ahead assents to the passing, the overtaking vessel remains within the speed limits, and the passing may be safely undertaken.

(f) *Obstruction of traffic.* (1) No person shall willfully or carelessly obstruct the free navigation of any of the waterways to which the regulations in this section apply, or delay any vessel having the right to use the waterway.

(2) No vessel shall anchor within the limits of any of the improved channels nor west of the International Boundary Line in the area of the Detroit River between the upstream limits of the Windsor Harbor Anchorage Area north of Fighting Island and the aerial cable across the Detroit River at Fort Wayne except in distress or under stress of weather. Any vessel forced to anchor in this forbidden area shall leave the area as soon as possible.

(3) No vessel of 500 gross tons or over shall anchor in the Detroit River between Belle Isle and Fighting Island so as to have any part of the vessel extended riverward more than 300 feet from shore nor in such position as will interfere with easy movement to and from any dock except in distress or under stress of weather. Vessels unable to comply with this subparagraph and subparagraph (2) of this paragraph shall request anchorage instructions from the U.S. Coast Guard, Belle Isle Lifeboat Station or the Windsor Harbor Master.

(4) Motorboats (as defined by the Motorboat Act of April 25, 1940), sailboats, rowboats, and other small crafts shall not anchor or drift in the regular ship channels except under stress of weather or in case of breakdown. Such craft shall be so operated that they shall not interfere with the safe passage of a vessel which can navigate only inside such channels.

(5) Whenever vessels collect in any of the channels by reasons of fog, smoke, ice, or other obstruction, their anchorage and movement shall be under the direction and control of an officer of the United States Coast Guard or patrol vessel, except as provided in subparagraph (6) of this paragraph. Regular scheduled vessels carrying passengers or mail may be advanced in order, and any vessel not ready to move when directed to do so may lose its position. The masters of all vessels shall comply promptly with the orders of the patrol vessels.

(6) When, as determined by the District Commander or his authorized representative, there is a stoppage of, interference with or danger to navigation by reasons of the sinking or grounding or unnecessary delay in any channel of any vessel, boat, water craft or raft or other obstruction, he may stop all vessels and direct their anchorage, clear the channel, designate the order in which all vessels shall proceed after the channel is open; and shall do all things deemed necessary to safeguard and expedite the passage of vessels.

(g) *Vessels aground or not under command.* (1) A vessel over sixty-five feet in length aground or disabled in or near the channel, in addition to displaying the lights or day signals required by Rule 30, of the Rules of the Road—Great Lakes, upon the approach of another vessel bound up or down the channel, shall sound the danger signal of several short and rapid blasts of the whistle, not less than five. If the approaching vessel cannot pass with safety, it shall stop at a safe distance from, and make proper dispositions to avoid fouling the grounded or disabled vessel, and upon the approach of another vessel coming up astern shall repeat the danger signal. Each additional vessel approaching from the same direction shall be similarly warned, in turn, by the vessel preceding. Each vessel shall keep a safe distance from the vessel ahead until the channel has been cleared, and shall pass a grounded or disabled vessel at reduced speed and with caution.

(2) Any vessel passing a stranded or disabled vessel shall report the location and nature of the casualty to the U.S. Coast Guard.

§ 162.140 Rouge River and Short Cut Canal, Mich.; use, administration and navigation.

(a) The following regulations govern the use, administration, and navigation of Rouge River and Short Cut Canal upstream to and including the turning basin upstream of the Dix Avenue Bridge.

(b) Unless otherwise specified, the term "vessel" as used in the regulations in this section shall mean all vessels of 100 or more gross tons and, regardless of tonnage, all tugs with tows.

(c) No vessel shall exceed a speed of 4 miles per hour while navigating in Rouge River or Short Cut Canal.

(d) Vessels are forbidden to enter, or move in, the channel two or more abreast.

(e) No vessel shall pass, or attempt to pass, another vessel moving in the same direction.

(f) All vessels equipped with radio telephone shall thereby broadcast the following security calls:

(1) Within 20 to 30 minutes before entering Rouge River or Short Cut Canal.

(2) Within 20 to 30 minutes before departing any mooring or docking in Rouge River or Short Cut Canal.

(3) Immediately upon leaving Rouge River or Short Cut Canal.

(4) Each 30 minutes when a vessel or any part thereof is lying in the channel for loading, unloading, or other purposes and is in position to obstruct other traffic.

(g) Every vessel, boat, raft, or other floating property which is not underway or anchored in Rouge River shall be securely moored to or made fast to the shore or wharf to avoid its drifting or sliding into the channel or otherwise obstructing navigation.

§ 162.145 Monroe Harbor, Mich.; use, administration, and navigation.

(a) No vessel shall exceed a speed of 6 miles per hour in the river channel nor 10 miles per hour in the lake channel.

(b) No vessel or other craft shall moor or anchor in or along any improved channel or basin in such a manner as to interfere with the improvement or maintenance operations therein. Whenever in the opinion of the District Commander or his authorized representative, any vessel or craft is so moored or anchored, the owner thereof shall cause such vessel or craft to be moved upon notification from, and within the time specified by, said District Commander.

(c) No tow shall enter or pass through the river portion of the channel with a towline more than 200 feet in length.

§ 162.150 Maumee Bay Channel, Ohio; use, administration and navigation.

(a) *Definition.* The term Bay Channel as used in the regulations of this section means the straight channel in Maumee Bay from the mouth of Maumee River to the lakeward limit of the improved channel connecting with the various sailing courses in Lake Erie. The term River Channel when used in the regulations of this section means the improved navigation channel in the Maumee River from

the mouth of the river to the upstream limit of the authorized Toledo Harbor project, about 7 miles upstream from the river mouth. The demarcation between Bay Channel and River Channel as used in the regulations of this section is the lakeward (East) end of the diked island area situated at the north side of the channel opposite the coal-loading docks.

(b) Speed:

(1) *Bay channel.* Vessels of 500 gross tons or over shall not navigate the straight channel in Maumee Bay at a speed exceeding 12 statute miles per hour over the bottom.

(2) *River channel.* Vessels of 100 gross tons or over, with or without tows, shall not navigate the channel in Maumee River upstream of the demarcation line at a speed in excess of 6 statute miles per hour over the bottom.

(c) Vessels of 500 gross tons or over, or tugs with tows, shall not navigate the Bay Channel or the River Channel from the mouth upstream to the railroad bridge, located about 2 miles upstream of the mouth of the river, two abreast, except in overtaking situations.

(d) Vessels of 500 gross tons or over, or tugs with tows, shall not overtake or pass another vessel traveling in the same direction in the Bay Channel, or in the River Channel from the mouth upstream to the railroad bridge located about 2 miles upstream of the mouth of the river, where such will result in meeting a vessel or tug with tow navigating in the opposite direction during the overtaking situation.

(e) Vessels of 500 tons or over, or tugs with tow, shall not overtake or pass a vessel traveling in the same direction in the River Channel upstream of the railroad bridge located about 2 miles upstream of the mouth of the river.

(f) No vessel, while moored or at anchor, or by excessive slow passage or otherwise underway, shall unreasonably obstruct the free passage and progress of other vessels.

(g) No vessel shall moor or anchor to any structure of the United States without the consent of the Captain of the Port, Toledo.

§ 162.155 Sandusky Harbor, Ohio.

(a) No vessel shall exceed a speed of 10 miles per hour in Sandusky Harbor.

(b) No vessel shall cross the edges of the channel without reducing its speed sufficiently to avoid displacement of said edges. Vessels crossing said channel shall keep out of the way of vessels navigating the channel.

(c) No vessel shall while moored or at anchor, or by slow passage or otherwise while underway, unreasonably obstruct the free passage and progress of other vessels.

NOTE.—The Corps of Engineers also has regulations dealing with this section in 33 CFR Part 207.

§ 162.160 Vermilion Harbor, Ohio.

(a) No vessel shall exceed a speed of six miles per hour.

(b) No vessel shall while moored or at anchor, or by slow passage or otherwise while underway, unreasonably obstruct the free passage and progress of other vessels.

NOTE.—The Corps of Engineers also has regulations dealing with this section in 33 CFR Part 207.

§ 162.165 Harbors of Huron, Lorain, Cleveland, Fairport, Ashtabula, Conneaut, Ohio.

(a) No vessel shall exceed a speed of 6 miles per hour, except in the outer harbors where the maximum speed shall be 10 miles per hour.

(b) No vessel shall while moored or at anchor, or by slow passage or otherwise while underway, unreasonably obstruct the free passage and progress of other vessels.

NOTE.—The Corps of Engineers also has regulations dealing with this section in 33 CFR. Part 207.

§ 162.170 Buffalo Harbor, N.Y.

(a) No vessel shall exceed a speed of 6 miles per hour except in the outer harbor where the maximum speed shall be 10 miles per hour.

(b) No vessel shall while moored or at anchor, or by slow passage or otherwise while underway, unreasonably obstruct the free passage and progress of other vessels.

NOTE.—The Corps of Engineers also has regulations dealing with this section in 33 CFR Part 207.

§ 162.175 Black Rock Canal and Lock at Buffalo, N.Y.

(a) No vessel or boat shall navigate the Black Rock Canal at a rate of speed greater than 6 statute miles per hour. This rate of speed will require elapsed time to navigate between designated points as follows:

From North Breakwater Light to Ferry Street Bridge, 26¼ minutes.

From South end of Bird Island Pier to Ferry Street Bridge, 18¾ minutes.

From Ferry Street Bridge to International Bridge, 11½ minutes.

NOTE.—The Corps of Engineers also has regulations dealing with this section in 33 CFR Part 207.

§ 162.180 Niagara River at Niagara Falls, N.Y.; restricted area.

(a) *The area.* (1) The United States waters of Niagara River downstream of a limit whose true bearing is south 38 degrees west from the downstream (westerly) side of the mouth of Gill Creek to and including the crests of the American and Horseshoe Falls, Niagara Falls, New York. The upstream limiting line of the area if projected to the Canadian shore of Niagara River will intersect the upstream end of the breakwater at the mouth of the Welland River.

(b) *The regulations.* (1) Navigation by all classes and types of vessels is prohibited in the area except that owners of floating plant engaged in survey and construction may enter the restricted water area provided they apply for and obtain the express consent of the District Commander, Ninth Coast Guard District.

§ 162.185 Rochester (Charlotte) Harbor, N.Y.

(a) No vessel shall exceed a speed of 6 miles per hour in Rochester (Charlotte) Harbor, New York.

(b) No vessel shall while moored or at anchor, or by slow passage or otherwise while underway, unreasonably obstruct the free passage and progress of other vessels.

NOTE.—The Corps of Engineers also has regulations dealing with this section in 33 CFR Part 207.

§ 162.190 St. Lawrence River, Cape Vincent Harbor, N.Y.; navigation of the harbor and United States breakwater.

(a) The term "harbor" when used in this section, applies to all that portion of the St. Lawrence River lying within the following boundaries: Beginning at a point on the harbor face of the breakwater at its easterly end and extending in a straight line along the harbor face of the main part of the breakwater and in extension thereof westerly approximately 2,400 feet; thence at right angles to the above-described line southerly to the northeast corner of the "L" dock at the foot of Market Street, approximately 300 feet; thence easterly along the dock face and shoreline to a point in a line at right angles to the breakwater at its easterly end; and thence along this last described right angle line to the point of beginning.

(b) The navigation of said harbor shall be under the direction of the Captain of the Port, Buffalo.

(c) Vessels shall not exceed a speed of 8 miles per hour in the harbor.

NOTE.—The Corps of Engineers also has regulations dealing with this section in 33 CFR Part 207.

§ 162.195 Santa Monica Bay, Calif.; restricted area.

(a) *The area.* The waters of the Pacific Ocean, Santa Monica Bay, in an area extending seaward from the shoreline a distance of about 5 nautical miles (normal to the shoreline) and basically outlined as follows:

Station	Latitude North	Longitude West
A	33°54'59"	118°25'41"
B	33°54'59"	118°28'00"
C	33°53'59.5"	118°31'37"
D	33°56'19.5"	118°34'05"
E	33°56'25"	118°26'29"

(b) *The regulations.* (1) Vessels shall not anchor within the area at any time without permission.

(2) Dredging, dragging, seining, or other fishing operations which might foul underwater installations within the area are prohibited.

(3) All vessels entering the area, other than vessels operated by or for the United States, the State of California, the county of Los Angeles, or the city of Los Angeles, shall proceed across the area

by the most direct route and without unnecessary delay. The area will be open and unrestricted to small recreational craft for recreational activities at all times.

(4) The placing of buoys, markers, or other devices requiring anchors will not be permitted.

(5) The city of Los Angeles will maintain a patrol of the area as needed.

§ 162.200 Marina del Rey, Calif.; restricted area.

(a) *The area.* That portion of the Pacific Ocean lying shoreward of the offshore breakwater and the most seaward 1,000 feet of the entrance channel between the north and south jetties, and basically outlined as follows:

Station	Latitude	Longitude
A	33°57'46.0"	118°27'39.5"
B	33°57'52.3"	118°27'43.6"
C	33°57'48.6"	118°27'48.8"
D	33°57'29.8"	118°27'34.7"
E	33°57'30.9"	118°27'29.1"
F	33°57'37.4"	118°27'33.8"
G	33°57'42.4"	118°27'23.0"
H	33°57'50.6"	118°27'28.3"
A	33°57'46.0"	118°27'39.5"

(b) *The regulations.* (1) Vessels shall not anchor within the area at any time without permission except in an emergency.

(2) Dredging, dragging, seining, or other fishing operations which might foul underwater installations within the area are prohibited.

NOTE.—The Corps of Engineers also has regulations dealing with this section in 33 CFR Part 207.

§ 162.205 San Pablo Bay, Carquinez Strait, Suisun Bay, San Joaquin River, and connecting waters, Calif.

(a) *Pinole Shoal Channel, San Pablo Bay; use, administration, any navigation.* (1) The use of Pinole Shoal Channel is reserved for navigation of vessels of greater draft than 20 feet or by towboats with tows drawing more than 20 feet. Vessels operated by either sail or power and tows drawing less than 20 feet are not permitted to use this channel or to cross it at any point between San Pablo Bay Lighted Buoy 5 and San Pablo Bay Lighted Bell Buoy 13.

(2) Vessels permitted to use Pinole Shoal Channel under subparagraph (1) of this paragraph shall proceed through the channel at a reasonable speed so as not to endanger other vessels or interfere with any work which may become necessary in maintaining, surveying, or buoying the channel, and they shall not anchor in the channel, except in cases of emergency such as fog or accident which would render progress unsafe or impossible.

(3) This paragraph shall not be construed as prohibiting any necessary use of the channel by any Government boats while on Government duty, or in emergencies by pilot boats, whether steam or sail, or by police boats, or by the vessels of passenger steamship lines operated on regular schedules.

(b) *San Joaquin River Deep Water Channel between Suisun Bay and the easterly end of the channel at Stockton; use, administration, and navigation*—(1) *Maximum speed.* The maximum speed for all ocean-going craft shall not exceed 10 miles per hour above the lower end of New York Slough, seven miles per hour above Criminal Point, or five miles per hour while passing any wharf, dock, or moored craft. As used in this subparagraph, the speed of a vessel when navigating with the current shall be its rate of movement in excess of the velocity of the current.

(2) *Passing.* All craft passing other boats, barges, scows, etc., in motion, moored or anchored, shall slow down and take every necesary precaution to avoid damage.

(3) *Right of way.* (i) United States dredges, tugs, launches, derrick boats, and similar plant of contractors executing river and harbor improvement work for the United States, and displaying the signals prescribed by the regulations contained in Part 80 of this Chapter shall have the right of way and other craft shall exercise special caution to avoid interference with the work on which the plant is engaged. Dredges, whether Federal or contractors' plant, working the channel must, however, take special care to give ocean-going vessels sufficient room for passing, and must lift both spuds and the ladder, and pull clear, if an adequate width of clear channelway cannot otherwise be provided. Ocean-going vessels may show at the masthead a black ball not more than 20 inches in diameter as a signal to the dredge, and may also blow five long blasts of the whistle when within reasonable hearing distance of the dredge, such signal to be followed at the proper time by the passing signal described in the local pilot rules. The dredge shall promptly acknowledge both signals in the usual manner.

(ii) Light-draft vessels when meeting or being overtaken by ocean-going vessels, shall give the right of way to such vessels by making use of the shallower portions of the waterway.

(iii) Rafts and tows must promptly give the channel side demanded upon proper signal by a vessel, and must be handled in such a manner as not to obstruct or interfere with the free use of the waterway by other craft.

(4) *Collisions.* (i) Ocean-going vessels in collision in the channel or turning basin must, if still afloat and in a condition making anchorage necessary, be immediately removed to an approved anchorage ground, or if in such condition that beaching is necessary, they shall be temporarily beached on the northwest side of Mandeville Island or in the Old River.

(ii) Light-draft vessels suffering collision shall be disposed of as directed by the District Commander or his authorized representative.

(5) *Wrecks.* In no case following accidents of fire or collision will a vessel be allowed to remain either anchored or grounded in the channel, or beached at any place where it endangers other vessels, while settlement is pending with the underwriters.

(6) *Other laws and regulations.* In all other respects, the existing Federal laws and rules and regulations affecting navigable waters of the United States will govern in this channel.

(c) *Sacramento Deep Water Ship Channel between Suisun Bay and easterly end of Turning Basin at West Sacramento; use, administration, and navigation*—(1) *Maximum speed for all ocean going craft*—(i) *Between Tolands Landing (Mile 6.2) and Rio Vista Bridge.* When going against a current of two knots or more, the maximum speed over the bottom shall not exceed 8 knots. When going with the current, in slack water, or against a current of two knots or less, the maximum speed through the water shall not exceed 10 knots.

(ii) *Between Rio Vista Bridge and Port of Sacramento.* When going against a current of two knots or more, the maximum speed over the bottom shall not exceed 5 knots. When going with the current, in slack water, or against a current of two knots or less, the maximum speed through the water shall not exceed 7 knots.

(iii) *Speed past docks or moored craft.* Within 550 feet of the centerline of the channel the speed shall be the minimum required to maintain steerageway; wind, tide, current, etc., being taken into consideration.

(iv) *Passing.* All craft passing other boats, barges, scows, etc., underway, moored or anchored, shall take every necessary precaution to avoid damage.

(v) *Speed, high-water precautions.* When passing another vessel (underway, anchored, or tied up); a wharf or other structure; work under construction; plant engaged in river and harbor improvement; levees withstanding flood waters; buildings partially or wholly submerged by high water; or any other structure liable to damage by collision, suction or wave action; vessels shall give as much leeway as circumstances permit and reduce their speed sufficiently to preclude causing damage to the vessel or structure being passed. As deemed necessary for public safety during high river stages, floods, or other emergencies, the District Commander may prescribe, by navigation bulletins or other means, the limiting speed in knots or temporarily close the waterway or any reach of it to traffic. Since this subparagraph pertains directly to the manner in which vessels are operated, masters of vessels shall be held responsible for strict observance and full compliance herewith.

(2) *Right of way.* (i) Dredges, tugs, launches, derrick boats and other similar equipment, executing river and harbor improvement work for the United States, and displaying the signals prescribed by the regulations contained in Part 80, of this Chapter, shall have the right-of-way and other craft shall exercise special caution to avoid interference with the work on which the plant is engaged.

Dredges, whether Federal or contractor's plant, working the channel must however, take special care to give ocean-going vessels sufficient room for passing, and must lift both spuds and the ladder, and pull clear, if an adequate width of clear channelway cannot otherwise be provided.

(ii) Vessels intending to pass dredges or other types of floating plant working in navigable channels, when within a reasonable distance therefrom and not in any case over a mile, shall indicate such intention by one long blast of the whistle, and shall be directed to the proper side for passage by the sounding, by the dredge or other floating plant, of the signal prescribed in the inland pilot rules for vessels underway and approaching each other from opposite directions, which shall be answered in the usual manner by the approaching vessel. If the channel is not clear, the floating plant shall sound the alarm or danger signal and the approaching vessel shall slow down or stop and await further signal from the plant.

(iii) When the pipeline from a dredge crosses the channel in such a way that an approaching vessel cannot pass safely around the pipeline or dredge, there shall be sounded immediately from the dredge the alarm or danger signal and the approaching vessel shall slow down or stop and await further signal from the dredge. The pipeline shall then be opened and the channel cleared as soon as practicable; when the channel is clear for passage the dredge shall so indicate by sounding the usual passing signal as prescribed in subdivision (ii) of this subparagraph. The approaching vessel shall answer with a corresponding signal and pass promptly.

(iv) When any pipeline or swinging dredge shall have given an approaching vessel or tow the signal that the channel is clear, the dredge shall straighten out within the cut for the passage of the vessel or tow.

(v) Shallow draft vessels when meeting or being overtaken by ocean-going vessels, shall give the right-of-way to such vessels by making use of the shallower portions of the waterway, wherever possible.

(vi) Tows should promptly give the channel side requested by proper signal from a vessel, and should be handled in such a manner as not to obstruct or interfere with the free use of the waterway by other craft.

(3) *Obstruction of traffic.* (i) Except as provided in subparagraph (2) of this paragraph no person shall willfully or carelessly obstruct the free navigation of the waterway, or delay any vessel having the right to use the waterway.

(ii) No vessel shall anchor within the channel except in distress or under stress of weather. Any vessel so anchored shall be moved as quickly as possible to such anchorage as will leave the channel clear for the passage of vessels.

(iii) Motorboats, sailboats, rowboats, and other small craft shall not anchor or drift in the regular ship channel except under stress of weather or in case of breakdown. Such craft shall be so operated that they will not interfere with or endanger the movement of commercial or public vessels.

(4) *Collisions.* (i) Ocean-going vessels in collision in the channel or turning basin, must if still afloat and in a condition making anchorage necessary, be immediately removed to an approved anchorage ground, or if in such condition that beaching is necessary, they shall be temporarily beached on the southwest side of Ryer Island from Mile 15.0 to Mile 16.3 or in the Harbor and Turning Basin at West Sacramento.

(ii) Light-draft vessels suffering collision shall be disposed of as directed by the District Commander or his authorized representative.

(5) *Marine accidents.* Masters, mates, pilots, owners, or other persons using the waterway to which this paragraph applies shall notify the Commander, 12th U.S. Coast Guard District and in the case of undocumented vessels, the State Division of Small Craft Harbors also, by the most expeditious means available of all marine accidents, such as fire, collision, sinking or stranding, where there is possible obstruction of the channel or interference with navigation or where damage to Government property is involved, furnishing a clear statement as to the name, address, and ownership of the vessel or vessels involved, the time and place, and the action taken. In all cases, the owner of the sunken vessel shall take immediate steps to mark the wreck properly.

(6) *Other laws and regulations.* In all other respects, existing Federal laws and rules and regulations affecting navigable waters of the United States will govern in this channel.

NOTE.—The Corps of Engineers also has regulations dealing with this section in 33 CFR Part 207.

§ 162.210 Lake Tahoe, Calif.; restricted areas along south shore.

(a) *The areas*—(1) *Baldwin Beach, under the control of the Forest Service, Department of Agriculture.* The waters of Lake Tahoe shoreward of a line described as follows: Beginning at the intersection of the high waterline with the west boundary line of Lot 2, Section 26, Township 13 North (Mount Diablo Base Line), Range 17 East (Mount Diablo Meridian); thence north 300 feet; thence southeasterly about 2,850 feet to the east line of Section 26 at a point 300 feet north of the high waterline; thence northeasterly 1,740 feet to a point 300 feet north of the high waterline; thence southeasterly about 1,810 feet to the projected east line of the former Baldwin property at a point 300 feet north of the high waterline; and thence south 300 feet to the high waterline.

(2) *Camp Richardson, under the control of the Forest Service, Department of Agriculture.* The waters of Lake Tahoe shoreward of a line described as follows: Beginning at the southeasterly corner of sec. 25, T. 13 N., R. 17 E., Mount Diablo Base and Meridian; thence north 410 feet along the east line of sec. 25; thence northwesterly 95 feet to the high waterline which is the true point of beginning; thence north 130 feet; thence southeasterly 565 feet; and thence south 130 feet to the high waterline.

(3) *Pope Beach, under the control of the Forest Service, Department of Agriculture.* The waters of Lake Tahoe shoreward of a line described as follows: Beginning at the intersection of the high waterline with the west line of the former Pope property, about 750 feet westerly of the west boundary line of Lot 2, Section 6, Township 12 North (Mount Diablo Base Line), Range 18 East (Mount Diablo Meridian); thence north 300 feet; thence southeasterly 4,200 feet to a point 300 feet north of the high waterline; and thence south 300 feet to the high waterline.

(4) *El Dorado County Beach.* The waters of Lake Tahoe shoreward of a line described as follows: Beginning at the intersection of the high waterline with the west boundary line of Lot 1, Section 32, Township 13 North (Mount Diablo Base Line), Range 18 East (Mount Diablo Meridian); thence north 500 feet; thence northeasterly about 1,350 feet to the projected east line of Lot 1 at a point 500 feet north of the high waterline; and thence south 500 feet to the high waterline.

(b) *The regulations.* No sail or machine-propelled watercraft, except vessels owned or controlled by the U.S. Coast Guard, shall navigate or anchor in the restricted area.

§ 162.215 Lake Tahoe, Nevada; restricted area adjacent to Nevada Beach.

(a) *The restricted area.* The waters of Lake Tahoe shoreward of a line described as follows: Beginning at the intersection of the high waterline with a line projected in a general southerly direction 200 feet from a point lying 310 feet west of section corner common to section 15, 16, 21, and 22, Township 13 North (Mt. Diablo Base Line), Range 18 East (Mt. Diablo Meridian); thence 300 feet lakeward at right angles to the high waterline; thence southeasterly approximately 2,170 feet to the projected south boundary line of the Forest Service property at a point 300 feet west of the high waterline; and thence east 300 feet to the high water line.

(b) *The regulations.* No sail or motor propelled water craft, except vessels owned or controlled by the United States Government and vessels duly authorized by the United States Coast Guard shall navigate or anchor in the restricted area.

§ 162.220 Hoover Dam, Lake Mead, and Lake Mohave (Colorado River), Ariz.-Nev.

(a) *Lake Mead and Lake Mohave; restricted areas*—(1) *The areas.* That portion of Lake Mead extending 700 feet upstream of the axis of Hoover Dam and that portion of Lake Mohave (Colorado River) extending 4,500 feet downstream of the axis of Hoover Dam.

(2) *The regulations.* The restricted areas shall be closed to navigation and other use by the general public. Only vessels owned by or controlled by the U.S. Government and the States of Arizona and Nevada shall navigate or anchor in the restricted areas: *Provided, however,* The Regional Director, Region 3, U.S. Bureau of Reclamation, Boulder City, Nev., may authorize, by written permit, individuals or groups to navigate or anchor in the restricted areas when it is deemed in the public interest. Copies of said permits shall be furnished the enforcing agencies.

(b) *Lake Mead; speed regulation.* In that portion of Lake Mead extending 300 feet upstream of the restricted area described in paragraph (a) of this section, a maximum speed of 5 miles per hour shall not be exceeded.

(c) *Supervision.* The regulations in this section shall be supervised by the District Commander, Eleventh Coast Guard District.

§ 162.225 Columbia and Willamette Rivers, Washington and Oregon; administration and navigation.

(a) *Supervision.* The District Commander, Thirteenth Coast Guard District, has certain administrative supervision over the Columbia and Willamette Rivers, and is charged with the enforcement under his direction of emergency regulations to govern navigation of these streams.

(b) *Speed.* During very high water stages (usually 25 feet or more on the Vancouver, Washington, gage) when lives, floating plant or major shore installations are endangered, the District Commander shall have authority to prescribe such temporary speed regulations as he may deem necessary for the public safety. During critical periods of freshets under 25 feet on the Vancouver, Washington, gage when construction is in progress, rehabilitation, or other unusual emergency makes a major shore installation susceptible to loss or major damage from wave action, the District Commander shall have authority to prescribe for a particular limited reach of the river as appropriate such temporary speed regulations as he may deem necessary to protect the integrity of such structure. All speed regulations prescribed by the District Commander shall be obeyed for the duration of the emergency and shall be terminated at the earliest practicable time that improved stream conditions permit.

§ 162.230 Columbia River, Wash.

(a) *Grand Coulee Dam discharge channel; restricted area—(1) The area.* That portion of the Columbia River between Grand Coulee Dam (situated at river mile 596.6) and river mile 593.7.

(2) *The regulations.* (i) No vessel shall enter or navigate within the area without permission from the enforcing agency.

(ii) The regulation in this section shall be enforced by the Chief, Power Field Division, Columbia Basin Project, U.S. Department of the Interior, Coulee Dam, Washington.

§ 162.235 Puget Sound Area, Wash.

(a) *Waterway connecting Port Townsend and Oak Bay; use, administration, and navigation—(1) Works to which regulations apply.* The "canal grounds" when used in this paragraph shall mean that area between the south end of the jetties in Oak Bay and the northerly end of the dredge channel approximately 400 yards northwest of Port Townsend Canal Light. The "canal" is the water lying between these limits and the banks containing the same.

(2) *Speed.* The speed limit within the canal grounds shall not exceed five miles per hour.

(3) *Signals.* All boats desiring to use the canal shall give one long and one short whistle. Southbound boats shall sound the signal within 600 yards of Port Townsend Canal Light. Northbound boats shall sound this signal at least 500 feet south from the end of the jetties in Oak Bay. If no other boat answers the signal the first boat shall have the right of way through the canal. Any approaching boat that is in the canal shall answer by giving the same signal and the first boat shall not enter the canal until the second boat shall have passed through the canal. In the case of boats going in the same direction the boat which is in the canal shall not answer the signal of the boat desiring to enter.

(4) *Passing.* Steamers shall not under any circumstances attempt to pass each other in the canal, either when going in the same or opposite directions.

(5) *Anchoring.* No steamers or boats shall anchor or tie up within the canal grounds unless they are well over on the tide flats to the west of the dredged channel, and off the right of way belonging to the United States.

(6) *Tows.* No tow shall enter or pass through the canal with a towline more than 200 feet in length.

(7) *Delaying traffic.* No person shall cause or permit any vessel or boat of which he is in charge, or on which he is employed, to obstruct the canal in any way or delay in passing through it.

(b) *West Waterway, Seattle Harbor; navigation.* (1) The movement of vessels of 250 gross tons or over and all vessels with tows of any kind through the narrow section of West Waterway between the bend at Fisher's Flour Mill dock and the bend at the junction of East Waterway with Duwamish Waterway, and through the draws of the City of Seattle and Northern Pacific Railway Company bridges crossing this narrow section, shall be governed by red and green traffic signal lights mounted on the north and south sides of the west tower of the City Light power crossing at West Spokane Street.

(2) Two green lights, one vertically above the other, displayed ahead of a vessel, shall indicate that the waterway is clear. Two red lights, one vertically above the other, displayed ahead of a vessel, shall indicate that the waterway is not clear.

(3) A vessel approaching the narrow section and drawbridges from either end of the waterway shall give one long blast of a whistle and shall not enter the narrow section until green lights are displayed.

(4) One vessel may follow another vessel in either direction, but the channel shall not be kept open in the same direction for an unreasonable time if a vessel is waiting at the other end.

(5) Tugs, launches, and small craft shall keep close to one side of the channel when vessels or boats with tows are passing.

(6) All craft shall proceed with caution. The display of a green light is not a guarantee that the channel is clear of traffic, and neither the United States nor the City of Seattle will be responsible for any damage to vessels or other property which may be chargeable to mistakes in the operation of the signal lights or to their failure to operate.

NOTE.—The Corps of Engineers also has regulations dealing with this section in 33 CFR Part 207.

§ 162.240 Tongass Narrows, Alaska; navigation.

(a) *Definitions.* The term "Tongass Narrows" includes the body of water shown on United States Coast and Geodetic Survey Chart No. 8094 lying between Revillagigedo Channel and Guard Islands in Clarence Strait.

(b) No vessel shall exceed a speed of seven knots between Idaho Rock and Charcoal Point.

(c) No vessel shall while moored or at anchor, or by slow passage or otherwise while underway, unreasonably obstruct the free passage and progress of other vessels.

(d) No vessel shall moor or anchor to any structure of the United States other than mooring piers, wharves, and floats without the consent of the Captain of the Port, Anchorage.

§ 162.245 Kenai River, Kenai, Alaska; use, administration, and navigation.

(a) *The area.* The main channel area of the river, having a width of 150 feet, beginning at a point directly offshore from the centerline of the city dock and extending about 2,200 feet upstream to a point 200 feet upstream from the Inlet Co. dock.

(b) *The regulations.* (1) Vessels may navigate, anchor, or moor within the area until such time as notification is received or observation is made of intended passage to or from the docking areas.

(2) Notice of anticipated passage of towboats and barges shall be indicated 24 hours in advance by display of a red flag by the Inlet Co. from its warehouse.

§ 162.250 Port Alexander, Alaska; speed of vessels.

(a) *Definition.* The term "Port Alexander" includes the body of water so indicated on United States Coast and Geodetic Survey Chart No. 8261 from its head to its entrance from Chatham Strait.

(b) *Speed.* The speed of all vessels of 5 tons or more gross, ships register, shall not exceed 3 miles per hour either in entering, leaving, or navigating within Port Alexander, Alaska.

§ 162.255 Wrangell Narrows, Alaska; use, administration, and navigation.

(a) *Definitions.* (1) The term "Wrangell Narrows" includes the entire body of water shown on United States Coast and Geodetic Survey Chart No. 8170 between Wrangell Narrows North Entrance Lighted Bell Buoy 63 and Midway Rock Light.

(2) The term "raft section" refers to a standard raft of logs or piling securely fastened together for long towing in Alaska inland waters in the manner customary with the local logging interests, i.e., with booms, swifters, and tail sticks. It normally contains 30,000 to 70,000 feet board measure of logs or piling and has a width of 45 to 60 feet and a length of 75 to 100 feet.

(b) *Speed restrictions.* No vessel shall exceed a speed of seven (7) knots in the vicinity of Petersburg, between Wrangell Narrows Channel Light 58 and Wrangell Narrows Lighted Buoy 60.

(c) *Tow channel.* The following route shall be taken by all tows passing through Wrangell Narrows when the towboat has a draft of 9 feet or less (northbound, read down; southbound, read up):

East of Battery Islets:
East of Tow Channel Buoy 1 TC.
East of Tow Channel Buoy 3 TC.
West of Tow Channel Buoy 4 TC.
East of Colorado Reef:
East of Wrangell Narrows Channel Light 21.
West of Wrangell Narrows Channel Lighted Buoy 25.
East of Tow Channel Buoy 5 TC.
East of Tow Channel Buoy 7 TC.
West of Petersburg:
East of Wrangell Narrows Channel Light 54 FR.
East of Wrangell Narrows Channel Light 56 Qk FR.
East of Wrangell Narrows Channel Light 58 FR., thence proceeding to west side of channel and leaving Wrangell Narrows by making passage between Wrangell Narrows Channel Daybeacon 61 and Wrangell Narrows North Entrance Lighted Bell Buoy 63 F.

(d) *Size of tows.* The maximum tows permitted shall be one pile driver, or three units of other towable equipment or seven raft sections.

(e) *Arrangement of tows.* (1) No towline or aggregate of towlines between towboat and separated pieces shall exceed 150 feet in length.

(2) Raft and barge tows of more than one unit shall not exceed 65 feet in width overall. Single barge tows shall not exceed 80 feet in width overall.

(3) Tows other than rafts shall be taken alongside the towboat whenever possible.

(f) *Anchorage.* Vessels may anchor in the anchorage basin in the vicinity of Anchor Point. No craft or tow shall be anchored in Wrangell Narrows in either the main ship channel or the towing channel, nor shall any craft or tow be anchored so that it can swing into either of these channels.

(g) *Disabled craft.* Disabled craft in a condition of absolute necessity are exempt from the regulations in this section.

§ 162.260 Channel leading to San Juan Harbor, P.R.; use, administration, and navigation.

(a) Steamers passing dredge engaged in improving the channel shall not have a speed greater than 4 miles an hour, and the propelling machinery shall be stopped when crossing the lines to the dredge anchors.

(b) Vessels using the channel shall pass the dredge on the side designated from the dredge by the signals prescribed in paragraph (c) of this section.

(c) Dredge shall display the red flag by day and four white lights hung in a vertical line by night to indicate the passing side.

(d) Vessels shall not anchor on the ranges of stakes or other marks placed for the guidance of the dredge, nor in such a manner as to obstruct the channel for passing vessels.

(e) Vessels shall not run over or disturb stake, lanterns, or other marks placed for the guidance of the dredge.

(f) Dredges working in the prosecution of the work shall not obstruct the channel unnecessarily.

(g) The dredge will slack lines running across the channel from the dredge on the passing side, for passing vessels, when notified by signal, with whistle or horn.

(h) The position of anchors of the dredge shall be marked by buoys plainly visible to passing vessels.

§ 162.265 San Juan Harbor, Puerto Rico; seaplane restricted area.

(a) *The area.* (1) Beginning at a point on the north edge of the Graving Dock Channel, bearing 207° from Isla Grande Light; thence to latitude 18°27'-08", longitude 66°06'38.5"; thence to latitude 18°27'08", longitude 66°08'-02.5"; thence to latitude 18°26'49.6", longitude 66°07'54"; thence 90° to the eastern edge of the Army Terminal Channel; thence southerly along the eastern edge of the Army Terminal Channel to latitude 18°26'09.2"; thence to latitude 18°26'38", longitude 66°05'-30"; thence to latitude 18°27'06.9", longitude 66°05'57"; thence to latitude 18°-27'07.1", longitude 66°06'05.7"; thence to 227° to a point on the north edge of the Graving Dock Channel; thence northwesterly along the north edge of the Graving Dock Channel to the point of beginning. The following described portions of the area are exempted:

(i) That part of the Graving Dock Channel within the area.

(ii) That part of the Army Terminal Channel within the area.

(iii) That part of the seaplane landing area east of the Army Terminal Channel and south of the Graving Dock Channel.

(2) The area will be used by seaplanes for take-offs, landings, taxiing, and mooring.

(3) For protracted or regularly scheduled night seaplane operations the actual take-off and landing lane will be marked by special seadrome buoys which will show fixed lights either yellow or green. Buoys for marking the take-off and landing lane will be of the type seadrome buoy regularly used by the Navy, a small black and yellow striped rubber buoy equipped to show either yellow or green lights for night operations. No buoys will be used in the area which are not approved by the enforcing agencies, or which may be confused with the regular aids to navigation system of the harbor.

(b) *The regulations.* (1) No vessel shall lie to or anchor in or otherwise obstruct the area.

(2) All vessels, passing through the area shall be alert for the approach of aircraft. Aircraft engaged in taking off or landing shall have the right of way over all vessels in the area. All vessels in the area shall proceed immediately to leave the area when warned by aircraft employing the "buzzing" method which consists of low flight by an airplane and repeated varying of the propeller speed, or when warned by a guard boat in the area.

(3) The regulations in this section shall be enforced by the Commander, Greater Antilles Section, U.S. Coast Guard.

§ 162.270 Restricted areas in vicinity of Maritime Administration Reserve Fleets.

(a) The regulations in this section shall govern the use and navigation of waters in the vicinity of the following National Defense Reserve Fleets of the Maritime Administration, Department of Commerce:

(1) [Reserved]

(2) James River Reserve Fleet, Fort Eustis, Virginia.

(3) [Reserved]

(4) Mobile Reserve Fleet, Tensaw River near Bay Minette, Alabama.

(5) Beaumont Reserve Fleet, Neches River near Beaumont, Texas.

(6) Suisun Bay Reserve Fleet near Benicia, California.

(7) [Reserved]

(8) Olympia Reserve Fleet, Budd Inlet at Olympia, Washington.

(b) No vessels or other watercraft, except those owned or controlled by the United States Government, shall cruise or anchor between Reserve Fleet units within 500 feet of the end vessels in each Reserve Fleet unit, or within 500 feet of the extreme units of the fleets, unless specific permission to do so has first been granted in each case by the enforcing agency.

(c) The regulations in this section shall be enforced by the respective Fleet Superintendents and such agencies as they may designate.

(Sec. 104, Pub. L. 92-340, 86 Stat. 424 (33 U.S.C. 1224); 49 CFR 1.46(n)(4).)

Dated: September 19, 1977.

O. W. SILER,
Admiral, United States Coast Guard Commandant.

[FR Doc.77-28030 Filed 9-28-77;8:45 am]

CHAPTER II—CORPS OF ENGINEERS, DEPARTMENT OF THE ARMY

PART 207—NAVIGATION REGULATIONS

Transfer of Certain Navigation Regulations to the Coast Guard

AGENCY: U.S. Army Corps of Engineers, DOD.

ACTION: Final rule.

SUMMARY: Certain inland waterways navigation regulations are being transferred from the U.S. Army Corps of Engineers to the Coast Guard. This action is the result of the signing of a Memorandum of Understanding between the Corps of Engineers and the Coast Guard that clarifies the responsibilities of each agency for safety on the navigable waters of the United States. This administrative transfer assures effective and efficient regulation of waterway safety.

EFFECTIVE DATE: September 29, 1977.

FOR FURTHER INFORMATION CONTACT:

Mr. Ralph T. Eppard, 202–693–5070 or write Office of the Chief of Engineers, Forrestal Building, Washington, D.C. 20314. Attn: DAEN–CWO–N.

SUPPLEMENTARY INFORMATION: A Memorandum of Understanding between the United States Army Corps of Engineers and the United States Coast Guard was signed May 5, 1977, clarifying the responsibilities for safety on the navigable waters of the United States as a result of the enactment of the Ports and Waterways Safety Act of 1972 (Pub. L. 92–340).

Pursuant to sections 7 of 40 Stat. 266 and 6 of 32 Stat. 374, (33 U.S.C. 1), the Secretary of the Army acting through the Chief of Engineers exercises regulatory authority over the use, administration, and navigation of the navigable waters of the United States. Under these authorities, the regulations contained in 33 CFR Part 207 were promulgated by the Corps of Engineers.

The Ports and Waterways Safety Act of 1972 (86 Stat. 424 33 U.S.C. 1221 et seq.) provides authority for the Secretary of the Department in which the Coast Guard is operating to regulate vessel navigation on certain navigable waters of the United States for purposes of marine safety and environmental protection.

A significant portion of the regulations published in 33 CFR Part 207 under Corps of Engineers authority contained in 33 U.S.C. 1 relate to speed limits, non-Department of Defense restricted areas, and vessel operations affecting navigational safety. All regulations in 33 CFR Part 207 falling under Coast Guard responsibility, as determined by a joint agency working committee, are transferred from the Corps of Engineers to the Coast Guard. The Coast Guard will publish these regulations in 33 CFR Parts 161 and 162 and will be responsible for their enforcement.

All regulations in 33 CFR Part 207 not covered by the Coast Guard's authority granted by the Ports and Waterways Safety Act will remain with the Corps of Engineers and will remain a part of 33 CFR Part 207. Enforcement responsibilities for these regulations will not be affected. Where necessary, certain paragraphs which define specific areas are published by both agencies. Those regulations in 33 CFR Part 207 that are being transferred to the Coast Guard are hereby revoked and reserved and are redesignated as follows:

Old Section No.:	*New Section No.*
207.35	162.15
207.36	162.20
207.40	162.25
207.70	162.30
207.80	162.35
207.100 (g), (i), (l), (r), (s)	162.40(a)–(f)
207.130	162.45
207.140	162.50
207.154	162.55
207.157a	162.60
207.160(f)	162.65 (a) (1)–(3), (b)
207.172	162.70
207.180 (a), (e) (1)–(4) (5) (i), (iii)–(vi)	162.75 (a) (1–3), (b) (1)–(4) (5) (i)–(v)
207.200 (b) (2)–(3), (c), (d)	161.402 (a) (1)–(3), (b), (c)
207.200(e)	162.80(a)
207.260(d)	162.85(a)
207.275 (a) (3), (e)	162.90(a) (1)–(3), (b)
207.301	162.100
207.306 (a), (c)	162.105 (a), (b)
207.400 (a) (1), (2), (4)–(8)	162.110 (a) (1)–(7)
207.410 (a), (b), (d)–(j)	162.115 (a)–(l)
207.450	162.120
207.470 (a)–(g), (l)–(1), (n), (o)	162.125 (a)–(m)
207.473(b)	162.130(a)
207.510	162.135
207.530	162.140
207.545	162.145
207.550	162.150
207.560 (a)–(c)	162.155 (a)–(c)
207.565 (a), (b)	162.160 (a), (b)
207.570 (a), (b)	162.165 (a), (b)
207.580 (a), (b)	162.170 (a), (b)
207.590(f)	162.175 (a)
207.591	162.180
207.600 (a), (b)	162.185 (a), (b)
207.610 (a)–(c)	162.190 (a)–(c)
207.619	162.195
207.619a	162.200
207.640 (k), (o), (p)	162.205 (a)–(c)
207.642	162.210
207.643	162.215
207.645	162.220
207.670	162.225
207.715a	162.230
207.750 (d) (1)–(6), (10)	162.235 (a) (1)–(7)
207.785	162.240
207.787	162.245
207.790	162.250
207.800	162.255
207.810	162.260
207.812	162.265
207.900	162.270

The Coast Guard is concurrently publishing these amendments to assure continuity of regulatory authority. The Chief Counsel has determined that since these amendments are matters relating to agency organization, they are exempt from the Notice of Proposed Rulemaking requirements in 5 U.S.C. 553(b) (3) (A) and since these amendments are not substantive, they may be made effective in less than 30 days after publication in the FEDERAL REGISTER under 5 U.S.C. 553(d) (3).

NOTE.—The Department of the Army has determined that this document does not contain a major proposal requiring preparation of an Inflation Impact Statement under Executive Order 11821 and OMB Circular A–107.

(33 U.S.C. 1)

Dated: August 22, 1977.

CHARLES R. FORD,
Acting Assistant Secretary of the Army (Civil Works).

[FR Doc.77–28029 Filed 9–28–77;8:45 am]

federal register

THURSDAY, SEPTEMBER 29, 1977

PART III



DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

Federal Insurance Administration

■

NATIONAL FLOOD INSURANCE PROGRAM

Communities Eligible for the Sale of Insurance; Consultation with Local Officials; and Appeals from Flood Elevation Determinations and Judicial Review

[4210-01]

Title 24—Housing and Urban Development

CHAPTER X—FEDERAL INSURANCE ADMINISTRATION, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

SUBCHAPTER B—NATIONAL FLOOD INSURANCE PROGRAM

[Docket No. FI-3368]

PART 1914—COMMUNITIES ELIGIBLE FOR THE SALE OF INSURANCE

Status of Participating Communities

AGENCY: Federal Insurance Administration, HUD.

ACTION: Final rule.

SUMMARY: The purpose of this rule is to list those communities where the sale of flood insurance is authorized under the National Flood Insurance Program. Flood insurance policies for property located in the communities listed can be obtained from any licensed property insurance agent or broker serving the eligible community, or from the National Flood Insurers Association servicing company for the state.

DATES: The date that appears in the fourth column of the table is the effective date of authorization for the sale of flood insurance.

FOR FURTHER INFORMATION CONTACT:

Mr. Richard Krimm, Assistant Administrator, Office of Flood Insurance, 202-755-5581 or Toll Free Line 800-424-8872, Room 5270, 451 Seventh Street, Southwest, Washington, D.C. 20410.

SUPPLEMENTARY INFORMATION: The Flood Disaster Protection Act of 1973 (Pub. L. 93-234) requires the purchase of flood insurance as a condition of receiving any form of Federal or federally related financial assistance for acquisition or construction purposes in a flood plain area having special hazards within any community identified for at least one year by the Secretary of Housing and Urban Development. The requirement applies to all identified special flood hazard areas within the United States, and no such financial assistance can legally be provided for acquisition or construction except as authorized by section 202(b) of the Act, as amended, unless the community has entered the program. Accordingly, for communities listed under this Part no such restriction exists, although insurance, if required, must be purchased.

The addresses of the National Flood Insurers Association servicing companies, where flood insurance policies can be obtained, are published at § 1912.5 (24 CFR Part 1912).

The Federal Insurance Administrator finds that delayed effective dates would be contrary to the public interest. The Administrator also finds that notice and public procedure under 5 U.S.C. 553 (b) are impracticable and unnecessary.

Section 1914.6 of Part 1914 of Subchapter B of Chapter X of Title 24 of the Code of Federal Regulations is amended by adding in alphabetical sequence new entries to the table. In each entry, a complete chronology of effective dates appears for each listed community. The entry reads as follows:

§ 1914.6 List of eligible communities.

State	County	Location	Effective date of authorization of sale of flood insurance for area	Hazard area identified	Community No.
*	*	*	*	*	*
Alabama	St. Clair	Steele, town of	Aug. 25, 1977, emergency	Feb. 7, 1975	010201
Iowa	Polk	Clive, city of	do	May 31, 1977	190488-A
Do	Plymouth	Kingsley, city of	do	Aug. 6, 1976	190477
New York	Chautauqua	Ellington, town of	do	Oct. 25, 1974	361074-A
				July 9, 1976	
North Carolina	Chowan	Unincorporated areas	do	Oct. 25, 1974	370301
				July 9, 1976	
North Dakota	Pembina	Bathgate, city of	do	Nov. 22, 9174	380080
Pennsylvania	Chester	Highland, township of	do	Nov. 29, 1974	422289
Wyoming	Unita	Mountain View, town of	do	Dec. 24, 1976	560092
Georgia	Dougherty	Albany, city of	Aug. 15, 1977, suspension withdrawn	May 17, 1974	130075A
				Feb. 13, 1976	
Michigan	Monroe	Monroe, city of	do	May 3, 1974	260153A
New Jersey	Essex	Bloomfield, town of	do	June 15, 1973	340178
Do	Bergen	Maywood, borough of	do	Aug. 15, 1977	340050
New York	Suffolk	Babylon, village of	do	Dec. 7, 1973	360791A
				June 11, 1976	
Ohio	Lucas	Sylvania, city of	do	Dec. 17, 1973	390364A
				Oct. 24, 1975	
Pennsylvania	Berks	Douglass, township of	do	Nov. 9, 1973	421911
				Oct. 1, 1976	
Do	Carbon	Jim Thorpe, borough of	do	Apr. 5, 1974	420249
Do	Schuykill	Landingville, borough of	do	June 28, 1974	420774A
				Apr. 23, 1976	
Do	Huntingdon	Mount Union, borough of	do	Aug. 24, 1973	420489A
				Aug. 20, 1976	
Do	Schuylkill	New Philadelphia, borough of	do	June 28, 1974	420770
				Apr. 23, 1976	
Do	Delaware	Parkside, borough of	do	Mar. 30, 1973	420426A
Do	Berks	Union, township of	do	Jan. 16, 1974	420155

(National Flood Insurance Act of 1968 (title XIII of the Housing and Urban Development Act of 1968); effective Jan. 28, 1969 (33 FR 17804, Nov. 28, 1968), as amended, 42 U.S.C. 4001-4128; and Secretary's delegation of authority to Federal Insurance Administrator, 34 FR 2680, Feb. 27, 1969), as amended 39 FR 2787, Jan. 24, 1974.

Issued August 16, 1977.

PATRICIA ROBERTS HARRIS,
Secretary.

[FR Doc.77-28249 Filed 9-28-77;8:45 am]

[4210-01]

[Docket No. FI 3372]

PART 1914—COMMUNITIES FOR THE SALE OF INSURANCE

Status of Participating Communities

AGENCY: Federal Insurance Administration, HUD.

ACTION: Final rule.

SUMMARY: The purpose of this rule is to list those communities where the sale of flood insurance is authorized under the National Flood Insurance Program. Flood insurance policies for property located in the communities listed can be obtained from any licensed property insurance agent or broker serving the eligible community, or from the National Flood Insurers Association servicing company for the state.

DATES: The date that appears in the fourth column of the table is the effective date of authorization for the sale of flood insurance.

FOR FURTHER INFORMATION CONTACT:

Mr. Richard Krimm, Assistant Administrator, Office of Flood Insurance, 202-755-5581 or Toll Free Line 800-424-8872, Room 5270, 451 Seventh Street, Southwest, Washington, D.C. 20410.

SUPPLEMENTARY INFORMATION: The Flood Disaster Protection Act of 1973 (Pub. L. 93-234) requires the purchase of flood insurance as a condition of receiving any form of Federal or federally related financial assistance for acquisition or construction purposes in a flood plain area having special hazards within any community identified for at least one year by the Secretary of Housing and Urban Development. The requirement applies to all identified special flood hazard areas within the United States, and no such financial assistance can legally be provided for acquisition or construction except as authorized by section 202(b) of the Act, as amended, unless the community has entered the program. Accordingly, for communities

listed under this Part no such restriction exists, although insurance, if required, must be purchased.

The addresses of the National Flood Insurers Association servicing companies, where flood insurance policies can be obtained, are published at § 1912.5 (24 CFR Part 1912).

The Federal Insurance Administrator finds that delayed effective dates would be contrary to the public interest. The Administrator also finds that notice and public procedure under 5 U.S.C. 553(b) are impracticable and unnecessary.

Section 1914.6 of Part 1914 of Subchapter B of Chapter X of Title 24 of the Code of Federal Regulations is amended by adding in alphabetical sequence new entries to the table. In each entry, a complete chronology of effective dates appears for each listed community. The entry reads as follows:

§ 1914.6 List of eligible communities.

State	County	Location	Effective date of authorization of sale of flood insurance for area	Hazard area identified	Community No.
*	*	*	*	*	*
Pennsylvania	Northumberland	Upper Augusta, township of	Jan. 19, 1973, emergency; May 2, 1977, regular; July 18, 1977, suspended; Aug. 18, 1977, reinstated.	Jan. 16, 1974 June 11, 1976	420745A
Do	Westmoreland	St. Clair, township of	Aug. 22, 1977, emergency	Sept. 20, 1974 June 18, 1976	422191-A
Florida	Polk	Unincorporated areas	Sept. 1, 1977, emergency	May 13, 1977	120261
Illinois	Woodford	Spring Bay, village of	Aug. 26, 1977, emergency	Mar. 28, 1975	170887
Missouri	Clay	Birmingham, village of	do		295272-New
Nebraska	Lincoln	Maxwell, village of	do		315276-New
New York	Rensselaer	Brunswick, town of	do	Nov. 12, 1976	361130-A
Ohio	Coshocton	Warsaw, village of	do	Apr. 18, 1975	390733
Do	do	West Lafayette, village of	do		390814-New
Pennsylvania	Clarion	Knox, borough of	do		521504
Texas	Wilson	Stockdale, city of	do	May 31, 1974 Oct. 10, 1975	480673-A
Pennsylvania	Northampton	Hanover, township of	Jan. 19, 1973, emergency; Aug. 1, 1977, regular; Aug. 15, 1977, suspended; Aug. 22, 1977, reinstated.	Nov. 23, 1973	420722-A
Do	Montgomery	Hatboro, borough of	Feb. 16, 1973, emergency; June 15, 1977, regular; July 18, 1977, suspended; Aug. 22, 1977, reinstated.	Aug. 9, 1974 May 28, 1976	420697

(National Flood Insurance Act of 1968 (title XIII of the Housing and Urban Development Act of 1968); effective Jan. 28, 1969 (33 FR 17804, Nov. 28, 1968), as amended, 42 U.S.C. 4001–4128; and Secretary's delegation of authority to Federal Insurance Administrator, 34 FR 2680, Feb. 27, 1969, as amended (39 FR 2787, Jan. 24, 1974).)

Issued August 26, 1977.

PATRICIA ROBERTS HARRIS,
Secretary.

[FR Doc.77-28248 Filed 9-28-77;8:45 am]

[4210-01]

[Docket No. FI-3369]

PART 1916—CONSULTATION WITH LOCAL OFFICIALS

Changes in Special Flood Hazard Areas

AGENCY: Federal Insurance Administration, HUD.

ACTION: Interim rule.

SUMMARY: The purpose of this rule is to list those communities wherein the Federal Insurance Administrator, after consultation with the Chief Executive Officer of the community, has determined that modification of the Special Flood Hazard Areas (SFHAs) of some locations is appropriate.

Any persons who have knowledge of changed conditions or new scientific or technical data or who wish to comment on these changes should immediately notify the Chief Executive Officer at the address listed.

For rating purposes, the revised community number is listed and must be used for all new policies and renewals.

DATES: These modified SFHAs are currently in effect and amend the Flood Insurance Rate Map (FIRM), in effect prior to this determination. A revised FIRM will be distributed in each community listed as soon as possible.

From the date of the second publication of notice of these changes in a prominent local newspaper, any person has 90 days in which he can request through the community that the Federal Insurance Administrator reconsider the changes. Any request for reconsideration must be based on knowledge of changed conditions or new scientific or technical data. All interested parties are on notice that until the 90-day period elapses, these modified SFHAs may be changed.

FOR FURTHER INFORMATION CONTACT:

Mr. Richard Krimm, Assistant Administrator, Office of Flood Insurance, 202–755–5581 or toll free line 800–424–8872, Room 5270, 451 Seventh Street SW., Washington, D.C. 20410.

SUPPLEMENTARY INFORMATION: The numerous changes made in the SFHAs on the Flood Insurance Rate Map(s) make it administratively infeasible to publish in this notice all of the modified SFHAs contained on the map. However, this notice includes the address of the Chief Executive Officer of the community where the modified SFHAs determinations are available for inspection.

The modifications are made pursuant to section 206 of the Flood Disaster Protection Act of 1973 (Pub. L. 93–234) and are in accordance with the National Flood Insurance Act of 1968, as amended (Title XIII of the Housing and Urban Development Act of 1968, Pub. L. 90–448), 42 U.S.C. 4001–4128, and 24 CFR Part 1916.

These SFHAs are the basis for the flood plain management measures that the community is required to either adopt or show evidence of being already in effect in order to qualify or remain qualified for participation in the National Flood Insurance Program (NFIP).

These SFHAs together with the flood plain management measures required by § 1910.3 of the program regulations are the minimum that are required. They should not be construed to mean the community must change any existing ordinances that are more stringent in their flood plain management requirements. The community may at any time enact stricter requirements on its own, or pursuant to policies established by other Federal, state, or regional entities.

These modified SFHAs shall be used to calculate the appropriate flood insurance premium rates for new buildings and their contents and for the second layer of insurance on existing buildings and contents.

The entry (entry not to be codified in CFR) reads as follows:

§ 1916.8 Changes in special flood hazard areas.

State	County	Location	Date and name of newspaper where notice was published	Chief executive officer of community	Effective date of modified flood insurance rate map	New community No.
Massachusetts	Barnstable	Falmouth, city of	The Falmouth Enterprise, July 22, 1977 and July 29, 1977.	Mr. John deMello, chairman, Board of Selectman, town of Falmouth, Town Hall, Falmouth, Mass. 02540.	July 29, 1977	255211B
Texas	Aransas	Rockport, city of	Rockport Pilot, Sept. 15, 1977 and Sept. 22, 1977.	Hon. Walter S. Falk, Jr., mayor of Rockport, City Hall, Box 1058, Rockport, Tex. 78382.	Sept. 9, 1977	485504C

(National Flood Insurance Act of 1968 (Title XIII of Housing and Urban Development Act of 1968), effective January 28, 1969 (33 FR 17804, November 28, 1968), as amended; 42 U.S.C. 4001–4128; and Secretary's delegation of authority to Federal Insurance Administrator, 34 FR 2680, February 27, 1969, as amended (39 FR 2787, January 24, 1974).)

Issued August 30, 1977.

PATRICIA ROBERTS HARRIS,
Secretary.

[FR Doc.77-28250 Filed 9-28-77;8:45 am]

[4210-01]

[Docket No. FI-3370]

PART 1916—CONSULTATION WITH LOCAL OFFICIALS

Changes in Base Flood Elevations

AGENCY: Federal Insurance Administration, HUD.

ACTION: Interim rule.

SUMMARY: The purpose of this rule is to list those communities wherein the Federal Insurance Administrator, after consultation with the Chief Executive Officer of the community, has determined that modification of the base (100-year) flood elevations of some locations is appropriate.

The numerous changes made in the base flood elevations on the Flood Insurance Rate Map(s) make it administratively infeasible to publish in this notice all of the modified base flood elevations contained on the map. However, this notice includes the address of the Chief Executive Officer of the community where the modified base flood elevation determinations are available for inspection.

Any persons who have knowledge of changed conditions or new scientific or technical data or who wish to comment on these changes should immediately notify the Chief Executive Officer at the address listed.

The modifications are made pursuant to section 206 of the Flood Disaster Protection Act of 1973 (Pub. L. 93–234) and are in accordance with the National Flood Insurance Act of 1968, as amended (Title XIII of the Housing and Urban Development Act of 1968, Pub. L. 90–448), 42 U.S.C. 4001–4128, and 24 CFR Part 1916.

For rating purposes, the revised community number is listed and must be used for all new policies and renewals.

DATES: These modified elevations are currently in effect and amend the Flood Insurance Rate Map (FIRM), in effect prior to this determination. A revised FIRM will be distributed in each community listed as soon as possible.

From the date of the second publication of notice of these changes in a prominent local newspaper, any person has 90 days in which he can request through the community that the Federal Insurance Administrator reconsider the changes. Any request for reconsideration must be based on knowledge of changed conditions or new scientific or technical data. All interested parties are on notice that until the 90-day period elapses, these modified elevations may be changed.

FOR FURTHER INFORMATION CONTACT:

Mr. Richard Krimm, Assistant Administrator, Office of Flood Insurance, 202–755–5581 or toll free line 800–424–8872, Room 5270, 451 Seventh Street SW., Washington, D.C. 20410.

SUPPLEMENTARY INFORMATION: These base flood elevations are the basis for the flood plain management measures that the community is required to either adopt or show evidence of being already in effect in order to qualify or remain qualified for participation in the National Flood Insurance Program (NFIP).

These elevations together with the flood plain management measures required by section 1910.3 of the program regulations are the minimum that are required. They should not be construed to mean the community must change any existing ordinances that are more stringent in their flood plain management requirements. The community may at any time enact stricter requirements on its own, or pursuant to policies established by other Federal, state, or regional entities.

These modified elevations shall be used to calculate the appropriate flood insurance premium rates for new buildings and their contents and for the second layer of insurance on existing buildings and contents.

The entry (entry not to be codified in CFR) reads as follows:

§ 1916.8 Changes in base flood elevations.

State	County	Location	Date and name of newspaper where notice was published	Chief Executive officer of community	Effective date of modified flood insurance rate map	New community No.
Texas	Galveston	Jamaica Beach, village of	Galveston Daily News, July 6, 1977 and July 9, 1977.	Hon. Jack Jordan, Mayor of Jamaica Beach, P.O. Box 5264, Galveston, Tex. 77551.	June 24, 1977	481271B
Do.	do.	LaMarque, city of	The LaMarque Times, Aug. 31, 1977 and Sept. 7, 1977.	Mr. Jack Treaster, city manager, city of LaMarque, 322 Laurel, LaMarque, Tex. 77568.	Aug. 26, 1977	485486 0001-0002B

(National Flood Insurance Act of 1968 (Title XIII of Housing and Urban Development Act of 1968), effective January 28, 1969 (33 FR 17804, November 28, 1968), as amended; 42 U.S.C. 4001–4128; and Secretary's delegation of authority to Federal Insurance Administrator, 34 FR 2680, February 27, 1969, as amended (39 FR 2787, January 24, 1974).)

Issued August 30, 1977.

PATRICIA ROBERTS HARRIS,
Secretary.

[FR Doc.77-28251 Filed 9-28-77;8:45 am]

[4210-01]

[Docket No. FI-3371]

PART 1916—CONSULTATION WITH LOCAL OFFICIALS

Changes in Special Flood Hazard Areas

AGENCY: Federal Insurance Administration, HUD.

ACTION: Interim rule.

SUMMARY: The purpose of this rule is to list those communities wherein the Federal Insurance Administrator, after consultation with the Chief Executive Officer of the community, has determined that modification of the Special Flood Hazard Area (SFHAs) of some locations is appropriate.

Any persons who have knowledge of changed conditions or new scientific or technical data or who wish to comment on these changes should immediately notify the Chief Executive Officer at the address listed.

For rating purposes, the revised community number is listed and must be used for all new policies and renewals.

DATES: These modified SFHAs are currently in effect and amend the Flood Insurance Rate Map (FIRM), in effect prior to this determination. A revised FIRM will be distributed in each community listed as soon as possible.

From the date of the second publication of notice of these changes in a prominent local newspaper, any person has 90 days in which he can request through the community that the Federal Insurance Administrator reconsider the changes. Any request for reconsideration must be based on knowledge of changed conditions or new scientific or technical data. All interested parties are on notice that until the 90-day period elapses, these modified SFHAs may be changed.

FOR FURTHER INFORMATION CONTACT:

Mr. Richard Krimm, Assistant Administrator, Office of Flood Insurance, (202–755–5581) or toll free line (800–424–8872) Room 5270, 451 Seventh Street SW., Washington, D.C. 20410.

SUPPLEMENTARY INFORMATION: The numerous changes made in the SFHAs on the Flood Insurance Rate Map(s) make it administratively infeasible to publish in this notice all of the modified SFHAs contained on the map. However, this notice includes the address of the Chief Executive Officer of the community where the modified SFHAs determinations are available for inspection.

The modifications are made pursuant to section 206 of the Flood Disaster Protection Act of 1973 (Pub. L. 93-234) and are in accordance with the National Flood Insurance Act of 1968, as amended (Title XIII of the Housing and Urban Development Act of 1968, Pub. L. 90-448), 42 U.S.C. 4001-4128, and 24 CFR Part 1916.

These SFHAs are the basis for the flood plain management measures that the community is required to either adopt or show evidence of being already in effect in order to qualify or remain qualified for participation in the National Flood Insurance Program (NFIP).

These SFHAs together with the flood plain management measures required by § 1910.3 of the program regulations are the minimum that are required. They should not be construed to mean the community must change any existing ordinances that are more stringent in their flood plain management requirements. The community may at any time enact stricter requirements on its own, or pursuant to policies established by other Federal, state, or regional entities.

These modified SFHAs shall be used to calculate the appropriate flood insurance premium rates for new buildings and their contents and for the second layer of insurance on existing buildings and contents.

The entry (entry not to be codified in CFR) reads as follows:

§ 1916.8 Changes in special flood hazard areas.

State	County	Location	Date and name of newspaper where notice was published	Chief executive officer of community	Effective date of modified flood insurance rate map	New community No.
Kansas	Ford	City of Dodge City	Dodge City Daily Globe, Dec. 2, 1977 and Dec. 9, 1977	Hon. William J. Miller, mayor of Dodge City, c/o Edwin Daley, City Hall, 705 First Ave., Dodge City, Kans. 67801.	Nov. 25, 1977	205184 0001C

(National Flood Insurance Act of 1968 (Title XIII of Housing and Urban Development Act of 1968), effective January 28, 1969 (33 FR 17804, November 28, 1968), as amended; 42 U.S.C. 4001-4128; and Secretary's delegation of 1968), effective January 28, 1969 (33 FR trator 34 FR 2680, February 27, 1969, as amended (39 FR 2787, January 24, 1974).)

Issued August 16, 1977.

PATRICIA ROBERTS HARRIS,
Secretary.

[FR Doc.77-28252 Filed 9-28-77;8:45 am]

[4210-01]

[Docket No. FI-904]

PART 1917—APPEALS FROM FLOOD ELEVATION DETERMINATIONS AND JUDICIAL REVIEW

Final Flood Elevation Determination for the Township of Berkeley Heights, N.J.

AGENCY: Federal Insurance Administration, HUD.

ACTION: Final rule.

SUMMARY: Final base flood elevations (100-year flood) are listed below for selected locations in the township of Berkeley Heights, N.J. These base flood elevations are the basis for the flood plain management measures that the community is required to either adopt or show evidence of being already in effect in order to qualify or remain qualified for participation in the National Flood Insurance Program (NFIP).

EFFECTIVE DATE: On publication of the Flood Insurance Rate Map for the township of Berkeley Heights, N.J.

ADDRESSES: Maps and other information showing the detailed outlines of the flood-prone areas and the final elevations for the Township of Berkeley Heights are available for review at Town Hall, 29 Park Avenue, Berkeley Heights, N.J.

FOR FURTHER INFORMATION CONTACT:

Mr. Richard Krimm, Assistant Administrator, Office of Flood Insurance (202-755-5581) or toll free line (800-424-8872), Room 5270, 451 Seventh Street SW., Washington, D.C. 20410.

SUPPLEMENTARY INFORMATION: The Federal Insurance Administrator gives notice of his final determinations of flood elevations for the Township of Berkeley Heights.

This final rule is issued in accordance with section 110 of the Flood Disaster Protection Act of 1973 (Pub. L. 93-234), 87 Stat. 980, which added section 1363 to the National Flood Insurance Act of 1968 (Title XIII of the Housing and Urban Development Act of 1968 (Pub. L. 90-448), 42 U.S.C. 4001-4128, and 24 CFR Part 1917).

An opportunity for the community or individuals to appeal this determination to or through the community for a period of ninety (90) days has been provided, and the Administrator has resolved the appeals presented by the community.

The Administrator, to whom the Secretary has delegated the statutory authority, has developed criteria for flood plain management in flood-prone areas in accordance with 24 CFR Part 1910.

The final 100-year flood elevations for selected locations are:

Source of flooding	Location	Elevation in feet, national geodetic vertical datum
Branch Chaucer Dr. Brook.	Park Ave	218.0
	Chaucer Dr	219.0
Chaucer Dr. Brook.	Mountain Ave	243.3
	Windsor Ave	220.5
	Park Ave	217.5
Forest Ave. Brook	Park Ave	214.4
Blue Brook	Valley Rd	210.0
Branch Blue Brook	do	213.7

(National Flood Insurance Act of 1968 (Title XIII of Housing and Urban Development Act of 1968), effective January 28, 1969 (33 FR 17804, November 28, 1968), as amended; 42 U.S.C. 4001-4128; and Secretary's delegation of authority to Federal Insurance Administrator 34 FR 2680, February 27, 1969, as amended (39 FR 2787, January 24, 1974).)

Issued August 16, 1977.

PATRICIA ROBERTS HARRIS,
Secretary.

[FR Doc.77-28266 Filed 9-28-77;8:45 am]

[4210-01]

[Docket No. FI-1129]

PART 1917—APPEALS FROM FLOOD ELEVATION DETERMINATIONS AND JUDICIAL REVIEW

Final Flood Elevation Determination for the City of Fairhope, Ala.

AGENCY: Federal Insurance Administration, HUD.

ACTION: Final rule.

SUMMARY: Final base flood elevations (100-year flood) are listed below for selected locations in the City of Fairhope, Ala. These base flood elevations are the basis for the flood plain management measures that the community is required to either adopt or show evidence of being already in effect in order to qualify or remain qualified for participation in the National Flood Insurance Program (NFIP).

EFFECTIVE DATE: On publication of the Flood Insurance Rate Map for the city of Fairhope, Ala.

FOR FURTHER INFORMATION CONTACT:

Mr. Richard Krimm, Assistant Administrator, Office of Flood Insurance, 202-755-5581 or toll free line 800-424-8872, Room 5270, 451 Seventh Street SW., Washington, D.C. 20410.

SUPPLEMENTARY INFORMATION: The Federal Insurance Administrator gives notice of his final determinations of flood elevations for the City of Fairhope.

This final rule is issued in accordance with section 110 of the Flood Disaster Protection Act of 1973 (Pub. L. 93-234), 87 Stat. 980, which added section 1363 to the National Flood Insurance Act of 1968 (Title XIII of the Housing and Urban Development Act of 1968 (Pub. L. 90-448), 42 U.S.C. 4001-4128, and 24 CFR Part 1917).

An opportunity for the community or individuals to appeal this determination to or through the community for a period of ninety (90) days has been provided. No appeals of the proposed base flood elevations were received from the com-

munity or from individuals within the community.

The Administrator, to whom the Secretary has delegated the statutory authority, has developed criteria for flood plain management in flood-prone areas in accordance with 24 CFR Part 1910.

Maps and other information showing the detailed outlines of the flood-prone areas and the final elevations for the City of Fairhope are available for review at City Hall, Fairhope, Ala.

The final 100-year flood elevations for selected locations are:

Source of flooding	Location	Elevation in feet, national geodetic vertical datum
Big Mouth Gully	U.S. 98	37
	Bancroft St	47
	Fairhope Ave	83
Cowpen Creek	Middle St	113
Tributary to Cowpen Creek.	Fairhope Ave	114
Tributary to Fly Creek.	Alabama 104	84
Stack Gully	Mobile Ave	21
Tatumville Gully	Mobile Ave	22
	Dirt Rd	47
	Section St	55
	Middle Ave	76
	Nichols Ave	92
Unnamed Creek	U.S. 98	34
	Bonsecour Ave	54
	Myrtle Ave	72

(National Flood Insurance Act of 1968 (Title XIII of Housing and Urban Development Act of 1968), effective January 28, 1969 (33 FR 17804, November 28, 1968), as amended; 42 U.S.C. 4001–4128; and Secretary's delegation of authority to Federal Insurance Administrator, 34 FR 2680, February 27, 1969, as amended (39 FR 2787, January 24, 1974).)

Issued September 8, 1977.

PATRICIA ROBERTS HARRIS,
Secretary.

[FR Doc.77-28245 Filed 9-28-77;8:45 am]

[4210-01]

[Docket No. FI-2004]

PART 1917—APPEALS FROM FLOOD ELEVATION DETERMINATIONS AND JUDICIAL REVIEW

Final Flood Elevation Determination for the Borough of Little Silver, N.J.

AGENCY: Federal Insurance Administration, HUD.

ACTION: Final rule.

SUMMARY: Final base flood elevations (100-year flood) are listed below for selected locations in the Borough of Little Silver, N.J. These base flood elevations are the basis for the flood plain management measures that the community is required to either adopt or show evidence of being already in effect in order to qualify or remain qualified for participation in the National Flood Insurance Program (NFIP).

EFFECTIVE DATE: On publication of the Flood Insurance Rate Map for the Borough of Little Silver, N.J.

ADDRESSES: Maps and other information showing the detailed outlines of the flood-prone areas and the final elevations for the Borough of Little Silver are available for review at Borough Hall, 480 Prospect Avenue, Little Silver, N.J.

FOR FURTHER INFORMATION CONTACT:

Mr. Richard Krimm, Assistant Administrator, Office of Flood Insurance, 202–755–5581 or toll free line 800–424–8872, Room 5270, 451 Seventh Street SW., Washington, D.C. 20410.

SUPPLEMENTARY INFORMATION: The Federal Insurance Administrator gives notice of his final determinations of flood elevations for the Borough of Little Silver.

This final rule is issued in accordance with section 110 of the Flood Disaster Protection Act of 1973 (Pub. L. 93–234), 87 Stat. 980, which added section 1363 to the National Flood Insurance Act of 1968 (Title XIII of the Housing and Urban Development Act of 1968 (Pub. L. 90–448), 42 U.S.C. 4001–4128, and 24 CFR Part 1917).

An opportunity for the community or individuals to appeal this determination to or through the community for a period of ninety (90) days has been provided. No appeals of the proposed base flood elevations were received from the community or from individuals within the community.

The Administrator, to whom the Secretary has delegated the statutory authority, has developed criteria for flood plain management in flood-prone areas in accordance with 24 CFR Part 1910.

The final 100-year flood elevations for selected locations are:

Source of flooding	Location	Elevation in feet, national geodetic vertical datum
Shrewsbury River	7 Bridges Rd	9
Little Silver Creek	Prospect Ave	9
	Willow Dr	9
	Branch Ave	12
Little Silver Creek Tributary II.	7 Bridges Rd	9
	Harrison Ave	20
Parker Creek	Oceanport Ave	9

(National Flood Insurance Act of 1968 (Title XIII of Housing and Urban Development Act of 1968), effective January 28, 1969 (33 FR 17804, November 28, 1968), as amended; 42 U.S.C. 4001–4128; and Secretary's delegation of authority to Federal Insurance Administrator, 34 FR 2680, February 27, 1969, as amended (39 FR 2787, January 24, 1974).)

Issued August 30, 1977.

PATRICIA ROBERTS HARRIS,
Secretary.

[FR Doc.77-28263 Filed 9-28—77;8:45 am]

[4210-01]

[Docket No. FI-2326]

PART 1917—APPEALS FROM FLOOD ELEVATION DETERMINATIONS AND JUDICIAL REVIEW

Final Flood Elevation Determination for the City of Tamarac, Fla.

AGENCY: Federal Insurance Administration, HUD.

ACTION: Final rule.

SUMMARY: Final base flood elevations (100-year flood) are listed below for selected locations in the City of Tamarac, Fla. These base flood elevations are the basis for the flood plain management measures that the community is required to either adopt or show evidence of being already in effect in order to qualify or remain qualified for participation in the National Flood Insurance Program (NFIP).

EFFECTIVE DATE: On publication of the Flood Insurance Rate Map for the City of Tamarac, Fla.

ADDRESSES: Maps and other information showing the detailed outlines of the flood-prone areas and the final elevations for the City of Tamarac are available for review at City Hall, 5811 Northwest 88th Avenue, Tamarac, Fla.

FOR FURTHER INFORMATION CONTACT:

Mr. Richard Krimm, Assistant Administrator, Office of Flood Insurance, 202–755–5581 or toll free line 800–424–8872, Room 5270, 451 Seventh Street SW., Washington, D.C. 20410.

SUPPLEMENTARY INFORMATION: The Federal Insurance Administrator gives notice of his final determinations of flood elevations for the City of Tamarac.

This final rule is issued in accordance with section 110 of the Flood Disaster Protection Act of 1973 (Pub.L. 93–234), 87 Stat. 980, which added section 1363 to the National Flood Insurance Act of 1968 (Title XIII of the Housing and Urban Development Act of 1968 (Pub.L. 90–448), 42 U.S.C. 4001–4128, and 24 CFR Part 1917).

An opportunity for the community or individuals to appeal this determination to or through the community for a period of ninety (90) days has been provided. No appeals of the proposed base flood elevations were received from the community or from individuals within the community.

The Administrator, to whom the Secretary has delegated the statutory authority, has developed criteria for flood plain management in flood-prone areas in accordance with 24 CFR Part 1910.

The final 100-year flood elevations for selected locations are:

Source of flooding	Location	Elevation in feet, national geodetic vertical datum
Ponding	Northwest 94th Ave	11
	Northwest 88th Ave	11
	NeNab Rd	11
	Northwest 57th St	11
	Northwest 84th Ter	11
	Southgate Blvd	11
	University Dr	11
	Northwest 70th Ave	11
	Northwest 57th St	11
	Commercial Blvd north of Florida's Turnpike.	10
	Northwest 50th St	9
	Yellow Pine Lane	9
	Orchard Tree Lane	8
	Cavandish Dr	8
	U.S. 441 and Northwest 50th St.	8
	Prospect Field Rd	8

(National Flood Insurance Act of 1968 (Title XIII of Housing and Urban Development Act of 1968), effective January 28, 1969 (33 FR 17804, November 28, 1968), as amended; 42 U.S.C. 4001–4128; and Secretary's delegation of authority to Federal Insurance Administrator, 34 FR 2680, February 27, 1969, as amended (39 FR 2787, January 24, 1974).)

Issued August 30, 1977.

PATRICIA ROBERTS HARRIS,
Secretary.

[FR Doc.77-28258 Filed 9-28-77;8:45 am]

[4210-01]

[Docket No. FI-2479]

PART 1917—APPEALS FROM FLOOD ELEVATION DETERMINATIONS AND JUDICIAL REVIEW

Final Flood Elevation Determination for the City of St. Joseph, Mich.

AGENCY: Federal Insurance Administration, HUD.

ACTION: Final rule.

SUMMARY: Final base flood elevations (100-year flood) are listed below for selected locations in the City of St. Joseph, Mich. These base flood elevations are the basis for the flood plain management measures that the community is required to either adopt or show evidence of being already in effect in order to qualify or remain qualified for participation in the National Flood Insurance Program (NFIP).

EFFECTIVE DATE: On publication of the Flood Insurance Rate Map for the City of St. Joseph, Mich.

ADDRESSES: Maps and other information showing the detailed outlines of the flood-prone areas and the final elevations for the City of St. Joseph are available for review at City Hall, 616–620 Broad Street, St. Joseph, Mich.

FOR FURTHER INFORMATION CONTACT:

Mr. Richard Krimm, Assistant Administrator, Office of Flood Insurance, 202–755–5581 or toll free line 800–424–8872, Room 5270, 451 Seventh Street SW., Washington, D.C. 20410.

SUPPLEMENTARY INFORMATION: The Federal Insurance Administrator gives notice of his final determinations of flood elevations for the City of St. Joseph.

This final rule is issued in accordance with section 110 of the Flood Disaster Protection Act of 1973 (Pub. L. 93–234), 87 Stat. 980, which added section 1363 to the National Flood Insurance Act of 1968 (Title XIII of the Housing and Urban Development Act of 1968 (Pub. L. 90–448), 42 U.S.C. 4001–4128, and 24 CFR Part 1917).

An opportunity for the community or individuals to appeal this determination to or through the community for a period of ninety (90) days has been provided. No appeals of the proposed base flood elevations were received from the community or from individuals within the community.

The Administrator, to whom the Secretary has delegated the statutory authority, has developed criteria for flood plain management in flood-prone areas in accordance with 24 CFR Part 1910.

The final 100-year flood elevations for selected locations are:

Source of flooding	Location	Elevation in feet, national geodetic vertical datum
St. Joseph River	Miller Dr. (extended)	584
	Wayne St. (on Radio Island).	584
	Upton Dr.	584

(National Flood Insurance Act of 1968 (Title XIII of Housing and Urban Development Act of 1968), effective January 28, 1969 (33 FR 17804, November 28, 1968), as amended; 42 U.S.C. 4001–4128; and Secretary's delegation of authority to Federal Insurance Administrator, 34 FR 2680, February 27, 1969, as amended (39 FR 2787, January 24, 1974).)

Issued August 30, 1977.

PATRICIA ROBERTS HARRIS,
Secretary.

[FR Doc.77-28265 Filed 9-28-77;8:45 am]

[4210-01]

[Docket No. FI-2652]

PART 1917—APPEALS FROM FLOOD ELEVATION DETERMINATIONS AND JUDICIAL REVIEW

Final Flood Elevation Determination for the Village of Lloyd Harbor, Suffolk County, N.Y.

AGENCY: Federal Insurance Administration, HUD.

ACTION: Final rule.

SUMMARY: Final base flood elevations (100-year flood) are listed below for selected locations in the Village of Lloyd Harbor, Suffolk County, N.Y. These base flood elevations are the basis for the flood plain management measures that the community is required to either adopt or show evidence of being already in effect in order to qualify or remain qualified for participation in the National Flood Insurance Program (NFIP).

EFFECTIVE DATE: On publication of the Flood Insurance Rate Map for the Village of Lloyd Harbor, Suffolk County, N.Y.

ADDRESSES: Maps and other information showing the detailed outlines of the flood-prone areas and the final elevations for the Village of Lloyd Harbor, Suffolk County, N.Y., are available for review at the Village Hall, 32 Middle Hollow Road, Huntingdon, N.Y.

FOR FURTHER INFORMATION CONTACT:

Mr. Richard Krimm, Assistant Administrator, Office of Flood Insurance, 202–755–5581 or Toll Free Line 800–424–8872, Room 5270, 451 Seventh Street, Southwest, Washington, D.C. 20410.

SUPPLEMENTARY INFORMATION: The Federal Insurance Administrator gives notice of his final determinations of flood elevations for the Village of Lloyd Harbor, Suffolk County, N.Y.

This final rule is issued in accordance with section 110 of the Flood Disaster Protection Act of 1973 (Pub. L. 93–234), 87 Stat. 980, which added section 1363 to the National Flood Insurance Act of 1968 (Title XIII of the Housing and Urban Development Act of 1968 (Pub. L. 90–448), 42 U.S.C. 4001–4128, and 24 CFR Part 1917). An opportunity for the community or individuals to appeal this determination to or through the community for a period of ninety (90) days has been provided. No appeals of the proposed base flood elevations were received from the community or from individuals within the community.

The Administrator, to whom the Secretary has delegated the statutory authority, has developed criteria for flood plain management in flood-prone areas in accordance with 24 CFR Part 1910.

The final 100-year flood elevations for selected locations are:

Source of flooding	Location	Elevation in feet above mean sea level
Long Island Sound		[1] 12

[1] Uniform.

(National Flood Insurance Act of 1968 (Title XIII of Housing and Urban Development Act of 1968), effective January 28, 1969 (33 FR 17804, November 28, 1968), as amended; 42 U.S.C. 4001–4128; and Secretary's delegation of authority to Federal Insurance Administrator, 34 FR 2680, February 27, 1969, as amended (39 FR 2787, January 24, 1974).)

Issued August 30, 1977.

PATRICIA ROBERTS HARRIS,
Secretary.

[FR Doc.77-28270 Filed 9-28-77;8:45 am]

[4210-01]

[Docket No. FI-2689]

PART 1917—APPEALS FROM FLOOD ELEVATION DETERMINATIONS AND JUDICIAL REVIEW

Final Flood Elevation Determination for the City of Jackson, Jackson County, Mich.

AGENCY: Federal Insurance Administration, HUD.

ACTION: Final rule.

SUMMARY: Final base (100-year) flood elevations are listed below for selected locations in the City of Jackson, Mich. These base (100-year) flood elevations are the basis for the flood plain management measures that the community is required to either adopt or show evidence of being already in effect in order to qualify or remain qualified for participation in the National Flood Insurance Program (NFIP).

EFFECTIVE DATE: The date of issuance of the Flood Insurance Rate Map (FIRM), showing base (100-year) flood elevations, for the City of Jackson, Mich.

ADDRESSES: Maps and other information showing the detailed outlines of the flood-prone areas and the final elevations for the City of Jackson, are available for review at City Hall, 132 West Washington Avenue, Jackson, Mich.

FOR FURTHER INFORMATION CONTACT:

Mr. Richard Krimm, Assistant Administrator, Office of Flood Insurance, 202–755–5581 or Toll Free Line 800–424–8872, Room 5270, 451 Seventh Street, SW., Washington, D.C. 20410.

SUPPLEMENTARY INFORMATION: The Federal Insurance Administrator gives notice of his final determinations of flood elevations for the City of Meridian.

This final rule is issued in accordance with section 110 of the Flood Disaster Protection Act of 1973 (Pub. L. 93–234), 87 Stat. 980, which added section 1363 to the National Flood Insurance Act of 1968 (Title XIII of the Housing and Urban Development Act of 1968 (Pub. L. 90–448), 42 U.S.C. 4001–4128, and 24 CFR Part 1917.4(a)). An opportunity for the community or individuals to appeal this determination to or through the community for a period of ninety (90) days has been provided. No appeals of the proposed base flood elevations were received from the community or from individuals within the community.

The Administrator has developed criteria for flood plain management in flood-prone areas in accordance with 24 CFR Part 1910.

The final base (100-year) flood elevations for selected locations are:

Source of flooding	Location	Elevation in feet, national geodetic vertical datum
Grand River	East High St.	935
	Lewis St.	935
	Liberty St.	932
	Ganson St.	926
	Monroe St.	919

(National Flood Insurance Act of 1968 (Title XIII of Housing and Urban Development Act of 1968), effective January 28, 1969 (33 FR 17804, November 28, 1968), as amended; 42 U.S.C. 4001–4128; and Secretary's delegation of authority to Federal Insurance Administrator, 34 FR 2680, February 27, 1969, as amended (39 FR 2787, January 24, 1974).)

Issued September 8, 1977.

PATRICIA ROBERTS HARRIS,
Secretary.

[FR Doc.77–28264 Filed 9–28–77;8:45 am]

[4210–01]

[Docket No. FI–2791]

PART 1917—APPEALS FROM FLOOD ELEVATION DETERMINATIONS AND JUDICIAL REVIEW

Final Flood Elevation Determination for the City of South Bend, St. Joseph County, Ind.

AGENCY: Federal Insurance Administration, HUD.

ACTION: Final rule.

SUMMARY: Final base flood elevations (100-year flood) are listed below for selected locations in the City of South Bend, St. Joseph County, Ind. These base flood elevations are the basis for the flood plain management measures that the community is required to either adopt or show evidence of being already in effect in order to qualify or remain qualified for participation in the National Flood Insurance Program (NFIP).

EFFECTIVE DATE: On publication of the Flood Insurance Rate Map for the City of South Bend, St. Joseph County, Ind.

ADDRESSES: Maps and other information showing the detailed outlines of the flood-prone areas and the final elevations for the City of South Bend, St. Joseph County, Ind. are available for review on the Bulletin Board, 1400 County-City Building, South Bend, Ind.

FOR FURTHER INFORMATION CONTACT:

Mr. Richard Krimm, Assistant Administrator, Office of Flood Insurance, 202–755–5581 or Toll Free Line 800–424–8872, Room 5270, 451 Seventh Street, Southwest, Washington, D.C. 20410.

SUPPLEMENTARY INFORMATION: The Federal Insurance Administrator gives notice of his final determinations of flood elevations for the City of South Bend, St. Joseph County, Ind.

This final rule is issued in accordance with section 110 of the Flood Disaster Protection Act of 1973 (Pub. L. 93–234), 87 Stat. 980, which added section 1363 to the National Flood Insurance Act of 1968 (Title XIII of the Housing and Urban Development Act of 1968 (Pub. L. 90–448), 42 U.S.C. 4001–4128, and 24 CFR Part 1917). An opportunity for the community or individuals to appeal this determination to or through the community for a period of ninety (90) days has been provided. No appeals of the proposed base flood elevations were received from the community or from individuals within the community.

The Administrator, to whom the Secretary has delegated the statutory authority, has developed criteria for flood plain management in flood-prone areas in accordance with 24 CFR Part 1910.

The final 100-year flood elevations for selected locations are:

Source of flooding	Location	Elevation in feet above mean sea level
St. Joseph River	Northern Corporate Limits.	665
	Cleveland Rd.	668
	Colfax Rd. (extended).	669
	Oakwood Blvd. (extended).	671
	Riverside Ct. (extended).	673
	Conrail	674
	Angela Blvd.	675
	Michigan St.	677
	Navarre St. (extended).	678
	LaSalle St.	679
	Jefferson Blvd.	686
	George Cooper Bridge.	687
	Emerson Ave. (extended).	688
	23d St. (extended)	689
	Eastern Corp. Limits.	690
Bowman Creek	U.S. Highway 33	689
	Grand Trunk Western RR.	699
	Conrail	701
	Broadway St.	712
	Dubail Ave.	715
	Dayton St.	723
	Calvert St.	727
	Fellows St.	734
	Carroll St.	736
	St. Joseph St.	739
	Michigan St.	744
	Main St.	748
	Conrail	752
	Franklin St.	754
	Confluence with Phillips Ditch.	761
Clyde Creek	Tyckenham Dr.	744
	York Rd.	747
	Cardine Lane	752
	Ridgedale Rd.	762
	Hillsdale Rd.	771
	Tudor Lane	776
	Woodmont Dr.	781
	Brookmede Dr.	785

(National Flood Insurance Act of 1968 (Title XIII of Housing and Urban Development Act of 1968), effective January 28, 1969 (33 FR 17804, November 28, 1968), as amended; 42 U.S.C. 4001–4128; and Secretary's delegation of authority to Federal Insurance Administrator 34 FR 2680, February 27, 1969, as amended (39 FR 2787, January 24, 1974).)

Issued August 30, 1977.

PATRICIA ROBERTS HARRIS,
Secretary.

[FR Doc.77–28260 Filed 9–28–77;8:45 am]

[4210–01]

[Docket No. FI–2874]

PART 1917—APPEALS FROM FLOOD ELEVATION DETERMINATIONS AND JUDICIAL REVIEW

Final Flood Elevation Determination for the City of Dania, Fla.

AGENCY: Federal Insurance Administration, HUD.

ACTION: Final rule.

SUMMARY: Final base flood elevations (100-year flood) are listed below for selected locations in the city of Dania, Fla. These base flood elevations are the basis for the flood plain management measures that the community is required to either adopt or show evidence of being already in effect in order to qualify or remain qualified for participation in the National Flood Insurance Program (NFIP).

EFFECTIVE DATE: On publication of the Flood Insurance Rate Map for the city of Dania, Fla.

ADDRESSES: Maps and other information showing the detailed outlines of the flood-prone areas and the final elevations for the city of Dania are available for review at City Hall, 100 West Beach Boulevard, Dania, Fla.

FOR FURTHER INFORMATION CONTACT:

Mr. Richard Krimm, Assistant Administrator, Office of Flood Insurance, (202–755–5581) or toll free line (800–424–8872), Room 5270, 451 Seventh Street, SW., Washington, D.C. 20410.

SUPPLEMENTARY INFORMATION: The Federal Insurance Administrator gives notice of his final determinations of flood elevations for the city of Dania.

This final rule is issued in accordance with section 110 of the Flood Disaster Protection Act of 1973 (Pub. L. 93–234), 87 Stat. 980, which added section 1363 to the National Flood Insurance Act of 1968 (Title XIII of the Housing and Urban Development Act of 1968 (Pub. L. 90–448), 42 U.S.C. 4001–4128, and 24 CFR Part 1917).

An opportunity for the community or individuals to appeal this determination to or through the community for a period of ninety (90) days has been provided. No appeals of the proposed base flood elevations were received from the community or from individuals within the community.

The Administrator, to whom the Secretary has delegated the statutory autority, has developed criteria for flood plain management in flood-prone areas in accordance with 24 CFR Part 1910.

The final 100-year flood elevations for selected locations are:

Source of flooding	Location	Elevation in feet, national geodetic vertical datum
Atlantic Ocean	6th Ave. NE. and 2d Pl. NE.	8
	5th Ave. NE. and 2d St. NE.	8
	Dania Beach Blvd. and 2d Ave. SE.	8
	2d Ave. SE. and 2d St. SE.	8
	2d Ave. SE. and 7th St. SE.	8
	2d Ave. SE. and 15th St. SE.	8
	3d Ave. SE. and 4th Pl. SE.	8
Rainfall Runoff	Dania Beach Blvd. and 8th Ave. NW.	7
	10th St. NW. and 6th Ave. NW.	7
	10th St. NW. and 9th Ave. SW.	7
	14th Ave. NW. and 8th St. NW.	7

(National Flood Insurance Act of 1968 (Title XIII of Housing and Urban Development Act of 1968), effective January 28, 1969 (33 FR 17804, November 28, 1968), as amended; 42 U.S.C. 4001–4128; and Secretary's delegation of authority to Federal Insurance Administrator, 34 FR 2680, February 27, 1969, as amended (39 FR 2787, January 24, 1974).)

Issued August 30, 1977.

PATRICIA ROBERTS HARRIS,
Secretary.

[FR Doc.77–28257 Filed 9–28–77;8:45 am]

[4210–01]

[Docket No. FI–2949]

PART 1917—APPEALS FROM FLOOD ELEVATION DETERMINATIONS AND JUDICIAL REVIEW

Final Flood Elevation Determination for the City of Lodi, San Joaquin County, Calif.

AGENCY: Federal Insurance Administration, HUD.

ACTION: Final rule.

SUMMARY: Final base flood elevations (100-year flood) are listed below for selected locations in the city of Lodi, San Joaquin County, Calif. These base flood elevations are the basis for the flood plain management measures that the community is required to either adopt or show evidence of being already in effect in order to qualify or remain qualified for participation in the National Flood Insurance Program (NFIP).

EFFECTIVE DATE: On publication of the Flood Insurance Rate Map for the city of Lodi, San Joaquin County, Calif.

ADDRESSES: Maps and other information showing the detailed outlines of the flood-prone areas and the final elevations for the city of Lodi, San Joaquin County, Calif., are available for review at the Community Development Department, Lodi City Hall, 221 West Pine Street, Lodi, Calif.

FOR FURTHER INFORMATION CONTACT:

Mr. Richard Krimm, Assistant Administrator, Office of Flood Insurance, (202–755–5581) or toll free line (800–424–8872), Room 5270, 451 Seventh Street SW., Washington, D.C. 20410.

SUPPLEMENTARY INFORMATION: The Federal Insurance Administrator gives notice of his final determinations of flood elevations for the city of Lodi, San Joaquin County, Calif.

This final rule is issued in accordance with section 110 of the Flood Disaster Protection Act of 1973 (Pub. L. 93–234), 87 Stat. 980, which added section 1363 to the National Flood Insurance Act of 1968 (Title XIII of the Housing and Urban Development Act of 1968 (Pub. L. 90–448), 42 U.S.C. 4001–4128, and 24 CFR Part 1917). An opportunity for the community or individuals to appeal this determination to or through the community for a period of ninety (90) days has been provided. No appeals of the proposed base flood elevations were received from the community or from individuals within the community.

The Administrator, to whom the Secretary has delegated the statutory authority, has developed criteria for flood plain management in flood-prone areas in accordance with 24 CFR Part 1910.

The final 100-year flood elevations for selected locations are:

Source of flooding	Location	Elevation in feet above mean sea level
Mokelumne River	Upstream corporate limits.	49
	State Highway 99	48
	Corporate limits	47
	do	47
	Downstream corporate limits.	42

(National Flood Insurance Act of 1968 (Title XIII of Housing and Urban Development Act of 1968), effective January 28, 1969 (33 FR 17804, November 28, 1968), as amended; 42 U.S.C. 4001–4128; and Secretary's delegation of authority to Federal Insurance Administrator, 34 FR 2680, February 27, 1969, as amended (39 FR 2787, January 24, 1974).)

Issued August 30, 1977.

PATRICIA ROBERTS HARRIS,
Secretary.

[FR Doc.77–28256 Filed 9–28–77;8:45 am]

[4210–01]

[Docket No. FI–2956]

PART 1917—APPEALS FROM FLOOD ELEVATION DETERMINATIONS AND JUDICIAL REVIEW

Final Flood Elevation Determination for the Town of Niskayuna, Schenectady County, N.Y.

AGENCY: Federal Insurance Administration, HUD.

ACTION: Final rule.

SUMMARY: Final base flood elevations (100-year flood) are listed below for selected locations in the town of Niskayuna, Schenectady County, N.Y. These base flood elevations are the basis for the flood plain management measures that the community is required to either adopt or show evidence of being already in effect in order to qualify or remain qualified for participation in the National Food Insurance Program (NFIP).

EFFECTIVE DATE: On publication of the Flood Insurance Rate Map for the town of Niskayuna, Schenectady County, N.Y.

ADDRESSES: Maps and other information showing the detailed outlines of the flood-prone areas and the final elevations for the town of Niskayuna, Schenectady County, N.Y., are available for review at the Towns Clerk's Office, 1335 Balltown Road, Niskayuna, N.Y. 12309.

FOR FURTHER INFORMATION CONTACT:

Mr. Richard Krimm, Assistant Administrator, Office of Flood Insurance, (202–755–5581) or toll free line (800–424–8872), Room 5270, 451 Seventh Street SW., Washington, D.C. 20410.

SUPPLEMENTARY INFORMATION: The Federal Insurance Administrator

gives notice of his final determinations of flood elevations for the town of Niskayuna, Schenectady County, N.Y.

This final rule is issued in accordance with section 110 of the Flood Disaster Protection Act of 1973 (Pub. L. 93–234), 87 Stat. 980, which added section 1363 to the National Flood Insurance Act of 1968 (Title XIII of the Housing and Urban Development Act of 1968 (Pub. L. 90–448), 42 U.S.C. 4001–4128, and 24 CFR Part 1917). An opportunity for the community or individuals to appeal this determination to or through the community for a period of ninety (90) days has been provided. No appeals of the proposed base flood elevations were received from the community or from individuals within the community.

The Administrator, to whom the Secretary has delegated the statutory authority, has developed criteria for flood plain management in flood-prone areas in accordance with 24 CFR Part 1910.

The final 100-year flood elevations for selected locations are:

Source of Flooding	Location	Elevation in feet, national geodetic vertical datum
Mohawk River	Southwest Corporate Limits.	200
	Vischer Ferry Dam Rd. (extended).	201
	Downstream Vischer Ferry Dam.	202
	Upstream Vischer Ferry Dam.	218
	Middle St. (extended)	221
	Balltown Rd.	222

(National Flood Insurance Act of 1968 (Title XIII of Housing and Urban Development Act of 1968), effective January 28, 1969 (33 FR 17804, November 28, 1968), as amended; 42 U.S.C. 4001–4128; and Secretary's delegation of authority to Federal Insurance Administrator, 34 FR 2680, February 27, 1969, as amended (39 FR 2787, January 24, 1974).)

Issued August 30, 1977.

PATRICIA ROBERTS HARRIS,
Secretary.

[FR Doc.77-28271 Filed 9-28-77;8:45 am]

[4210–01]

[Docket No. FI–3071]

PART 1917—APPEALS FROM FLOOD ELEVATION DETERMINATIONS AND JUDICIAL REVIEW

Final Flood Elevation Determination for the City of Grand Haven, Mich.

AGENCY: Federal Insurance Administration, HUD.

ACTION: Final rule.

SUMMARY: Final base flood elevations (100-year flood) are listed below for selected locations in the City of Grand Haven, Mich. These base flood elevations are the basis for the flood plain management measures that the community is required to either adopt or show evidence of being already in effect in order to qualify or remain qualified for participation in the National Flood Insurance Program (NFIP).

EFFECTIVE DATE: On publication of the Flood Insurance Rate Map for the City of Grand Haven, Mich.

ADDRESSES: Maps and other information showing the detailed outlines of the flood-prone areas and the final elevations for the City of Grand Haven are available for review at City Hall, 519 Washington Street, Grand Haven, Mich.

FOR FURTHER INFORMATION CONTACT:

Mr. Richard Krimm, Assistant Administrator, Office of Flood Insurance, 202–755–5581, or Toll Free Line, 800–424–8872, Room 5270, 451 7th Street SW., Washington, D.C. 20410.

SUPPLEMENTARY INFORMATION: The Federal Insurance Administrator gives notice of his final determinations of flood elevations for the City of Grand Haven.

This final rule is issued in accordance with section 110 of the Flood Disaster Protection Act of 1973 (Pub. L. 93–234), 87 Stat. 980, which added section 1363 to the National Flood Insurance Act of 1968 (Title XIII of the Housing and Urban Development Act of 1968 (Pub. L. 90–448), 42 U.S.C. 4001–4128, and 24 CFR Part 1917).

An opportunity for the community or individuals to appeal this determination to or through the community for a period of ninety (90) days has been provided. No appeals of the proposed base flood elevations were received from the community or from individuals within the community.

The Administrator, to whom the Secretary has delegated the statutory authority, has developed criteria for flood plain management in flood-prone areas in accordance with 24 CFR Part 1910.

The final 100-year flood elevations for selected locations are:

Source of flooding	Location	Elevation in feet, national geodetic vertical datum
South Channel	U.S. Highway 31	584
	3d St.	584
Grand River	C&O RR.	584

(National Flood Insurance Act of 1968 (Title XIII of Housing and Urban Development Act of 1968), effective January 28, 1969 (33 FR 17804, November 28, 1968), as amended; 42 U.S.C. 4001–4128; and Secretary's delegation of authority to Federal Insurance Administrator, 34 FR 2680, February 27, 1969, as amended (39 FR 2787, January 24, 1974).)

Issued August 30, 1977.

PATRICIA ROBERTS HARRIS,
Secretary.

[FR Doc.77-28263 Filed 9-28-77;8:45 am]

[4210–01]

[Docket No. FI–3102]

PART 1917—APPEALS FROM FLOOD ELEVATION DETERMINATIONS AND JUDICIAL REVIEW

Final Flood Elevation Determination for the Borough of Hopewell, Mercer County, N.J.

AGENCY: Federal Insurance Administration, HUD.

ACTION: Final rule.

SUMMARY: Final base flood elevations (100-year) are listed below for selected locations in the Borough of Hopewell, Mercer County, N.J.

These base flood elevations are the basis for the flood plain management measures that the community is required to either adopt or show evidence of being already in effect in order to qualify or remain qualified for participation in the National Flood Insurance Program (NFIP).

EFFECTIVE DATE: On publication of the Flood Insurance Rate Map for the Borough of Hopewell, Mercer County, N.J.

ADDRESSES: Maps and other information showing the detailed outlines of the flood-prone areas and the final elevations for the Borough of Hopewell, New Jersey, are available for review at the Clerk's Office, 19 North Greenwood Avenue, Hopewell, N.J. 08525.

FOR FURTHER INFORMATION CONTACT:

Mr. Richard Krimm, Assistant Administrator, Office of Flood Insurance, 202–755–5581, or Toll Free Line 800–424–8872, Room 5270, 451 7th Street, SW., Washington, D.C. 20410.

SUPPLEMENTARY INFORMATION: The Federal Insurance Administrator gives notice of his final determinations of flood elevations for the Borough of Hopewell, N.J.

This final rule is issued in accordance with section 110 of the Flood Disaster Protection Act of 1973 (Pub. L. 93–234), 87 Stat. 980, which added section 1363 to the National Flood Insurance Act of 1968 (Title XIII of the Housing and Urban Development Act of 1968 (Pub. L. 90–448), 42 U.S.C. 4001–4128, and 24 CFR Part 1917).

An opportunity for the community or individuals to appeal this determination to or through the community for a period of ninety (90) days has been provided. No appeals of the proposed base flood elevations were received from the community or from individuals within the community.

The Administrator, to whom the Secretary has delegated the statutory authority, has developed criteria for flood plain management in flood-prone areas in accordance with 24 CFR Part 1910.

The final 100-year flood elevations for selected locations are:

Source of flooding	Location	Elevation in feet above mean sea level
Beden Brook	400 ft south of East Prospect St.	167
	100 ft south of Columbia Ave.	172
	Columbia Ave	174
	100 ft south of West Broad St.	177

(National Flood Insurance Act of 1968 (Title XIII of Housing and Urban Development Act of 1968), effective January 28, 1969 (33 FR 17804, November 28, 1968), as amended; 42 U.S.C. 4001–4128; and Secretary's delegation of authority to Federal Insurance Administrator, 34 FR 2680, February 27, 1969, as amended (39 FR 2787, January 24, 1974).)

Issued: September 8, 1977.

PATRICIA ROBERTS HARRIS,
Secretary.

[FR Doc.77-28267 Filed 9-28-77;8:45 am]

[4210-01]

[Docket No. FI-3103]

PART 1917—APPEALS FROM FLOOD ELEVATION DETERMINATIONS AND JUDICIAL REVIEW

Final Flood Elevation Determination for the City of Keokuk, Lee County, Iowa

AGENCY: Federal Insurance Administration, HUD.

ACTION: Final rule.

SUMMARY: Final base flood elevations (100-year flood) are listed below for selected locations in the City of Keokuk, Lee County, Iowa. These base flood elevations are the basis for the flood plain management measures that the community is required to either adopt or show evidence of being already in effect in order to qualify or remain qualified for participation in the National Flood Insurance Program (NFIP).

EFFECTIVE DATE: On publication of the Flood Insurance Rate Map for the City of Keokuk, Lee County, Iowa.

ADDRESSES: Maps and other information showing the detailed outlines of the flood-prone areas and the final elevations for the City of Keokuk, Lee County, Iowa are available for review at the bulletin board, Municipal Building, 415 Blondeau Street, Keokuk, Iowa.

FOR FURTHER INFORMATION CONTACT:

Mr. Richard Krimm, Assistant Administrator, Office of Flood Insurance, 202–755–5581, or Toll Free Line 800–424–8872, Room 5270, 451 7th Street, SW., Washington, D.C. 20410.

SUPPLEMENTARY INFORMATION: The Federal Insurance Administrator gives notice of his final determinations of flood elevations for the City of Keokuk, Lee County, Iowa.

This final rule is issued in accordance with section 110 of the Flood Disaster Protection Act of 1973 (Pub. L. 93–234), 87 Stat. 980, which added section 1363 to the National Flood Insurance Act of 1968 (Title XIII of the Housing and Urban Development Act of 1968 (Pub. L. 90–448), 42 U.S.C. 4001–4128, and 24 CFR Part 1917). An opportunity for the community or individuals to appeal this determination to or through the community for a period of ninety (90) days has been provided. No appeals of the proposed base flood elevations were received from the community or from individuals within the community.

The Administrator, to whom the Secretary has delegated the statutory authority, has developed criteria for flood plain management in flood-prone areas in accordance with 24 CFR Part 1910.

The final 100-year flood elevations for selected locations are:

Source of flooding	Location	Elevation in feet, national geodetic vertical datum
Mississippi River	Confluence of Des Moines River.	502
	U.S. Highway 136 and 218.	504
	Northern Corporate Limits.	519
Des Moines River	Western Corporate Limits.	502
Soap Creek	5th St.	503
	10th St.	519
	Des Moines Ave.	550
	Johnson St. Rd.	591
	Cramer Lane	593
	Carbide Ave.	625

(National Flood Insurance Act of 1968 (Title XIII of Housing and Urban Development Act of 1968), effective January 28, 1969 (33 FR 17804, November 28, 1968), as amended; 42 U.S.C. 4001–4128; and Secretary's delegation of authority to Federal Insurance Administrator, 34 FR 2680, February 27, 1969, as amended (39 FR 2787, January 24, 1974).)

Issued August 30, 1977.

PATRICIA ROBERTS HARRIS,
Secretary.

[FR Doc.77-28261 Filed 9-28-77;8:45 am]

[4210-01]

[Docket No. FI-3104]

PART 1917—APPEALS FROM FLOOD ELEVATION DETERMINATIONS AND JUDICIAL REVIEW

Final Flood Elevation Determination for the Village of Bradley, Kankakee County, Ill.

AGENCY: Federal Insurance Administration, HUD.

ACTION: Final rule.

SUMMARY: Final base flood elevations (100-year flood) are listed below for selected locations in the Village of Bradley, Kankakee County, Ill. These base flood elevations are the basis for the flood plain management measures that the community is required to either adopt or show evidence of being already in effect in order to qualify or remain qualified for participation in the National Flood Insurance Program (NFIP).

EFFECTIVE DATE: On publication of the Flood Insurance Rate Map for the Village of Bradley, Kankakee County, Ill.

ADDRESS: Maps and other information showing the detailed outlines of the flood-prone areas and the final elevations for the Village of Bradley, Kankakee County, Ill., are available for review at the lobby of the Village Hall, 147 South Michigan, Bradley, Ill.

FOR FURTHER INFORMATION CONTACT:

Mr. Richard Krimm, Assistant Administrator, Office of Flood Insurance, (202–755–5581), or Toll Free Line (800–424–8872), room 5270, 451 Seventh St. SW., Washington, D.C. 20410.

SUPPLEMENTARY INFORMATION: The Federal Insurance Administrator gives notice of his final determinations of flood elevations for the Village of Bradley, Kankakee County, Illinois.

This final rule is issued in accordance with section 110 of the Flood Disaster Protection Act of 1973 (Pub. L. 93–234), 87 Stat. 980, which added section 1363 to the National Flood Insurance Act of 1968 (Title XIII of the Housing and Urban Development Act of 1968 (Pub. L. 90–448), 42 U.S.C. 4001–4128, and 24 CFR Part 1917). An opportunity for the community or individuals to appeal this determination to or through the community for a period of ninety (90) days has been provided. No appeals of the proposed base flood elevations were received from the community or from individuals within the community.

The Administrator, to whom the Secretary has delegated the statutory authority, has developed criteria for flood plain management in flood-prone areas in accordance with 24 CFR Part 1910.

The final 100-year flood elevations for selected locations are:

Source of flooding	Location	Elevation in feet above mean sea level
Soldier Creek	Confluence of North Branch Soldier Creek	624
	Conrail	625
	Kinzie Ave.	627
North Branch Soldier Creek.	Erie St.	629
	Illinois Central RR.	653
	North St.	654
	Pfitzer Dr.	661

(National Flood Insurance Act of 1968 (Title XIII of Housing and Urban Development Act of 1968), effective January 28, 1969 (33 FR 17804, November 28, 1968), as amended; 42 U.S.C. 4001–4128; and Secretary's delegation of authority to Federal Insurance Administrator, 34 FR 2680, February 27, 1969, as amended (39 FR 2787, January 24, 1974).)

Issued: August 26, 1977.

PATRICIA ROBERTS HARRIS,
Secretary.

[FR Doc.77-28259 Filed 9-28-77;8:45 am]

[4210-01]

[Docket No. FI-3113]

PART 1917—APPEALS FROM FLOOD ELEVATION DETERMINATIONS AND JUDICIAL REVIEW

Final Flood Elevation Determination for the City of Davenport, Scott County, Iowa

AGENCY: Federal Insurance Administration, HUD.

ACTION: Final rule.

SUMMARY: Final base flood elevations (100-year flood) are listed below for selected locations in the City of Davenport, Scott County, Iowa.

These base flood elevations are the basis for the flood plain management measures that the community is required to either adopt or show evidence of being already in effect in order to qualify or remain qualified for participation in the National Flood Insurance Program (NFIP).

EFFECTIVE DATE: On publication of the Flood Insurance Rate Map for the City of Davenport, Scott County, Iowa.

ADDRESSES: Maps and other information showing the detailed outlines of the flood-prone areas and the final elevations for the City of Davenport, Scott County, Iowa are available for review at the first floor on the bulletin board, City Hall, Davenport, Iowa.

FOR FURTHER INFORMATION CONTACT:

Mr. Richard Krimm, Assistant Administrator, Office of Flood Insurance, (202–755–5581), or Toll Free Line (800–424–8872), room 5270, 451 Seventh St. SW., Washington, D.C. 20410.

SUPPLEMENTARY INFORMATION: The Federal Insurance Administrator gives notice of his final determinations of flood elevations for the City of Davenport, Scott County, Iowa.

This final rule is issued in accordance with section 110 of the Flood Disaster Protection Act of 1973 (Pub. L. 93–234), 87 Stat. 980, which added section 1363 to the National Flood Insurance Act of 1968 (Title XIII of the Housing and Urban Development Act of 1968 (Pub. L. 90–448), 42 U.S.C. 4001–4128, and 24 CFR Part 1917). An opportunity for the community or individuals to appeal this determination to or through the community for a period of ninety (90) days has been provided. No appeals of the proposed base flood elevations were received from the community or from individuals within the community.

The Administrator, to whom the Secretary has delegated the statutory authority, has developed criteria for flood plain management in flood-prone areas in accordance with 24 CFR Part 1910.

The final 100-year flood elevations for selected locations are:

Source of flooding	Location	Elevation in feet above mean sea level
Mississippi River	Interstate Route 280	565
	Centennial Bridge	567
	Eastern Corporate Limit.	570
Black Hawk Creek	West River Dr	566
	Concord St	566
	Homestead Ave	568
	Rockingham Rd	671
	Concord St	580
	Black Hawk St	586
	Fairmont St	596
	Wisconsin Ave. (extended).	629
	Utah Ave	665
	Telegraph Rd	669
Crow Creek	Eastern Corporate Limits.	676
	Utica Ridge Rd	685
	Interstate Route 80	696
	Northern Corporate Limits.	704
Duck Creek	Kimberly Rd	618
	Jersey Ridge Rd	622
	Eastern Ave	624
	Brady St	633
	Harrison St	634
	Marquette St	642
	Division St	645
	Rock Island RR	657
	Wisconsin Ave	665
	Utah Ave	672
Pheasant Creek	Confluence with Duck Creek.	619
	32d St	627
	Kimberly Rd	631
	46th St	646
	53d St	671
	Jersey Ridge Rd	689
	67th St	697
Goose Creek	Confluence with Duck Creek.	625
	33d St	630
	Kimberly Rd	633
	Eastern Ave	643
	Chicago, Milwaukee, St. Paul and Pacific RR.	647
	53d St	664
	Brady St	671
	Division St	698
	Interstate Route 80	716
Silver Creek	Confluence with Duck Creek.	648
	Kimberly Rd	655
	49th St	669
	Downstream of Interstate Route 80.	703
West Fork Silver Creek.	Dittmer St	669
	Elsie St. (extended)	674
	Fairmount St	677
	Wyoming Ave	687
Tributary No. 1 to Duck Creek.	Confluence with Duck Creek.	663
	Rock Island RR	678
	46th St	685

(National Flood Insurance Act of 1968 (Title XIII of Housing and Urban Development Act of 1968), effective January 28, 1969 (33 FR 17804, November 26, 1968), as amended; 42 U.S.C. 4001–4128; and Secretary's delegation of authority to Federal Insurance Administrator 34 FR 2680, February 27, 1969, as amended (39 FR 2787, January 24, 1974).)

Issued August 30, 1977.

PATRICIA ROBERTS HARRIS,
Secretary.

[FR Doc.77-28246 Filed 9-28-77;8:45 am]

[4210-01]

[Docket No. FI-3120]

PART 1917—APPEALS FROM FLOOD ELEVATION DETERMINATIONS AND JUDICIAL REVIEW

Final Flood Elevation Determination for the City of Kinsley, Edwards County, Kans.

AGENCY: Federal Insurance Administration, HUD.

ACTION: Final rule.

SUMMARY: Final base flood elevations (100-year flood) are listed below for selected locations in the City of Kinsley, Edwards County, Kans. These base flood elevations are the basis for the flood plain management measures that the community is required to either adopt or show evidence of being already in effect in order to qualify or remain qualified for participation in the National Flood Insurance Program (NFIP).

EFFECTIVE DATE: On publication of the Flood Insurance Rate Map for the City of Kinsley, Edwards County, Kansas.

ADDRESS: Maps and other information showing the detailed outlines of the flood-prone areas and the final elevations for the City of Kinsley, Edwards County, Kans., are available for review at the front office, Kinsley City Hall, 721 Marsh Avenue, Kinsley, Kans.

FOR FURTHER INFORMATION CONTACT:

Mr. Richard Krimm, Assistant Administrator, Office of Flood Insurance, (202–755–5581), or toll free line (800–424–8872) room 5270 451 Seventh St., SW., Washington, D.C. 20410.

SUPPLEMENTARY INFORMATION: The Federal Insurance Administrator gives notice of his final determinations of flood elevations for the City of Kinsley, Edwards County, Kansas.

This final rule is issued in accordance with section 110 of the Flood Disaster Protection Act of 1973 (Pub. L. 93–234), 87 Stat. 980, which added section 1363 to the National Flood Insurance Act of 1968 (Title XIII of the Housing and Urban Development Act of 1968 (Pub. L. 90–448), 42 U.S.C. 4001–4128, and 24 CFR Part 1917). An opportunity for the community or individuals to appeal this determination to or through the community for a period of ninety (90) days has been provided. No appeals of the proposed base flood elevations were received from the community or from individuals within the community.

The Administrator, to whom the Secretary has delegated the statutory authority, has developed criteria for flood plain management in flood-prone areas in accordance with 24 CFR Part 1910.

The final 100-year flood elevations for selected locations are:

Source of flooding	Location	Elevation in feet, national geodetic vertical datum
Arkansas River	Township Rd.	2,162
	U.S. Highway 183	2,176
Big Coon Creek	U.S. Highway 50	2,164
	Briggs Ave.	2,168
	U.S. Highway 183	2,170
	12th St.	2,173
	Township Rd.	2,174
Little Coon Creek	Winchester St.	2,172
	1st St.	2,179

(National Flood Insurance Act of 1968 (Title XIII of Housing and Urban Development Act of 1968), effective January 28, 1969 (33 FR 17804, November 28, 1968), as amended; 42 U.S.C. 4001–4128; and Secretary's delegation of authority to Federal Insurance Administrator 34 FR 2680, February 27, 1969, as amended (39 FR 2787, January 24, 1974).)

Issued August 26, 1977.

PATRICIA ROBERTS HARRIS,
Secretary.

[FR Doc.77-28262 Filed 9-28-77;8:45 am]

[4210-01]

[Docket No. FI-3122]

PART 1917—APPEALS FROM FLOOD ELEVATION DETERMINATIONS AND JUDICIAL REVIEW

Final Flood Elevation Determination for the City of Plattsmouth, Cass County, Nebr.

AGENCY: Federal Insurance Administration, HUD.

ACTION: Final rule.

SUMMARY: Final base flood elevations (100-year) are listed below for selected locations in the City of Plattsmouth, Cass County, Nebr. These base flood elevations are the basis for the flood plain management measures that the community is required to either adopt or show evidence of being already in effect in order to qualify or remain qualified for participation in the National Flood Insurance Program (NFIP).

EFFECTIVE DATE: On publication of the Flood Insurance Rate Map for the City of Plattsmouth, Cass County, Nebr.

ADDRESSES: Maps and other information showing the detailed outlines of the flood-prone areas and the final elevations for the City of Plattsmouth, are available for review at the City Clerk's Office, City Hall, 136 North 5th Street, Plattsmouth, Nebr. 68048.

FOR FURTHER INFORMATION CONTACT:

Mr. Richard Krimm, Assistant Administrator, Office of Flood Insurance, 202–755–5581 or toll free line 800–424–8872, Room 5270, 451 Seventh Street SW., Washington, D.C. 20410.

SUPPLEMENTARY INFORMATION: The Federal Insurance Administrator gives notice of his final determinations of flood elevations for the City of Plattsmouth.

This final rule is issued in accordance with section 110 of the Flood Disaster Protection Act of 1973 (Pub. L. 93–234), 87 Stat. 980, which added section 1363 to the National Flood Insurance Act of 1968 (Title XIII of the Housing and Urban Development Act of 1968 (Pub. L. 90–448), 42 U.S.C. 4001–4128, and 24 CFR Part 1917).

An opportunity for the community or individuals to appeal this determination to or through the community for a period of ninety (90) days has been provided. No appeals of the proposed base flood elevations were received from the community or from individuals within the community.

The Administrator, to whom the Secretary has delegated the statutory authority, has developed criteria for flood plain management in flood-prone areas in accordance with 24 CFR Part 1910.

The final 100-year flood elevations for selected locations are:

Source of flooding	Location	Elevation in feet, national geodetic vertical datum
Missouri River	3.03 ml downstream of Highway 34.	957.1
	2.35 ml downstream of Highway 34.	958.1
	0.38 ml downstream of Highway 34.	959.5
	1.69 ml downstream of confluence with Platte River.	964.2
	0.37 ml upstream of confluence with Platte River.	965.9
Platte River	0.75 ml upstream of confluence with Missouri River.	967.3
	200 ft upstream of Highway 73–75.	970.3
	Burlington Northern RR and Missouri Pacific RR Bridges.	972.0
	1,700 ft upstream of Burlington Northern RR and Missouri Pacific RR Bridges.	973.8

(National Flood Insurance Act of 1968 (Title XIII of Housing and Urban Development Act of 1968), effective January 28, 1969 (33 FR 17804, November 28, 1968), as amended; 42 U.S.C. 4001–4128; and Secretary's delegation of authority to Federal Insurance Administrator, 34 FR 2680, February 27, 1969, as amended (39 FR 2787, January 24, 1974).)

Issued August 26, 1977.

PATRICIA ROBERTS HARRIS,
Secretary.

[FR Doc.77-28244 Filed 9-28-77;8:45 am]

[4210-01]

[Docket No. FI-3127]

PART 1917—APPEALS FROM FLOOD ELEVATION DETERMINATIONS AND JUDICIAL REVIEW

Final Flood Elevation Determination for the Town of Cold Spring, Cattaraugus County, N.Y.

AGENCY: Federal Insurance Administration, HUD.

ACTION: Final rule.

SUMMARY: Final base flood elevations (100-year flood) are listed below for selected locations in the Town of Cold Spring, Cattaraugus County, N.Y. These base flood elevations are the basis for the flood plain management measures that the community is required to either adopt or show evidence of being already in effect in order to qualify or remain qualified for participation in the National Flood Insurance Program (NFIP).

EFFECTIVE DATE: On publication of the Flood Insurance Rate Map for the Town of Cold Spring, Cattaraugus County, N.Y.

ADDRESSES: Maps and other information showing the detailed outlines of the flood-prone areas and the final elevations for the Town of Cold Spring, Cattaraugus County, N.Y., are available for review at Cold Spring Town Hall, Lebanon Road, Steamburg, N.Y.

FOR FURTHER INFORMATION CONTACT:

Mr. Richard Krimm, Assistant Administrator, Office of Flood Insurance, 202–755–5581 or toll free line 800–424–8872, Room 5270, 451 Seventh Street SW., Washington, D.C. 20410.

SUPPLEMENTARY INFORMATION: The Federal Insurance Administrator gives notice of his final determinations of flood elevations for the Town of Cold Spring, Cattaraugus County, N.Y.

This final rule is issued in accordance with section 110 of the Flood Disaster Protection Act of 1973 (Pub. L. 93–234), 87 Stat. 980, which added section 1363 to the National Flood Insurance Act of 1968 (Title XIII of the Housing and Urban Development Act of 1968 (Pub. L. 90–448), 42 U.S.C. 4001–4128, and 24 CFR Part 1917). An opportunity for the community or individuals to appeal this determination to or through the community for a period of ninety (90) days has been provided. No appeals of the proposed base flood elevations were received from the community or from individuals within the community.

The Administrator, to whom the Secretary has delegated the statutory authority, has developed criteria for flood plain management in flood-prone areas in accordance with 24 CFR Part 1910.

The final 100-year flood elevations for selected locations are:

Source of flooding	Location	Elevation in feet above mean sea level
Cold Spring Creek Tributary.	300 ft upstream from Allegany Indian Reservation.	1,383
	Downstream Arrance Rd.	1,390
	Upstream Arrance Rd.	1,392
	May Rd.	1,393
	Conrail.	1,396
	Lebanon Rd.	1,398
	Farm Lane (890 ft U.S. Lebanon Rd.).	1,403
	Farm Lane (2,050 ft U.S. Lebanon Rd.).	1,417

(National Flood Insurance Act of 1968 (Title XIII of Housing and Urban Development Act of 1968), effective January 28, 1969 (33 FR 17804, November 28, 1968), as amended; 42 U.S.C. 4001–4128; and Secretary's delegation of authority to Federal Insurance Administrator, 34 FR 2680, February 27, 1969, as amended (39 FR 2787, January 24, 1974).)

Issued August 26, 1977.

PATRICIA ROBERTS HARRIS,
Secretary.

[FR Doc.77-28269 Filed 9-28-77;8:45 am]

[4210–01]

[Docket No. FI–3133]

PART 1917—APPEALS FROM FLOOD ELEVATION DETERMINATIONS AND JUDICIAL REVIEW

Final Flood Elevation Determination for the Town of Palmyra, Wayne County, N.Y.

AGENCY: Federal Insurance Administration, HUD.

ACTION: Final rule.

SUMMARY: Final base flood elevations (100-year flood) are listed below for selected locations in the Town of Palmyra, Wayne County, N.Y. These base flood elevations are the basis for the flood plain management measures that the community is required to either adopt or show evidence of being already in effect in order to qualify or remain qualified for participation in the National Flood Insurance Program (NFIP).

EFFECTIVE DATE: On publication of the Flood Insurance Rate Map for the Town of Palmyra, Wayne County, N.Y.

ADDRESSES: Maps and other information showing the detailed outlines of the flood-prone areas and the final elevations for the Town of Palmyra, Wayne County, N.Y., are available for review at Palmyra Town Hall, 204 East Main Street, Palmyra, N.Y. 14522.

FOR FURTHER INFORMATION CONTACT:

Mr. Richard Krimm, Assistant Administrator, Office of Flood Insurance, 202–755–5581 or toll free line 800–424–8872, Room 5270, 451 Seventh Street SW., Washington, D.C. 20410.

SUPPLEMENTARY INFORMATION: The Federal Insurance Administrator gives notice of his final determinations of flood elevations for the Town of Palmyra, Wayne County, N.Y.

This final rule is issued in accordance with section 110 of the Flood Disaster Protection Act of 1973 (Pub. L. 93–234), 87 Stat. 980, which added section 1363 to the National Flood Insurance Act of 1968 (Title XIII of the Housing and Urban Development Act of 1968 (Pub. L. 90–448), 42 U.S.C. 4001–4128, and 24 CFR Part 1917). An opportunity for the community or individuals to appeal this determination to or through the community for a period of ninety (90) days has been provided. No appeals of the proposed base flood elevations were received from the community or from individuals within the community.

The Administrator, to whom the Secretary has delegated the statutory authority, has developed criteria for flood plain management in flood-prone areas in accordance with 24 CFR Part 1910.

The final 100-year flood elevations for selected locations are:

Source of flooding	Location	Elevation in feet above mean sea level
Canargua Creek	Corporate Limits (downstream).	422
	Whitbeck Rd Bridge	423
	Conrail Bridge	427
	Hogback Rd Bridge	429
	Harrison's Spillway	429
Red Creek "West"	Confluence with Canargua Creek.	429
	State Route 21	429
	Garlock Dam	431
	Conrail Bridge	433
	Maple Ave	436
	Corporate Limits (upstream).	437
Red Creek "East"	North Creek Rd Bridge.	422
	Lyon Rd Bridge	422
	Corporate Limits (upstream).	422

(National Flood Insurance Act of 1968 (Title XIII of Housing and Urban Development Act of 1968), effective January 28, 1969 (33 FR 17804, November 28, 1968), as amended; 42 U.S.C. 4001–4128; and Secretary's delegation of authority to Federal Insurance Administrator, 34 FR 2680, February 27, 1969, as amended (39 FR 2787, January 24, 1974).)

Issued August 26, 1977.

PATRICIA ROBERTS HARRIS,
Secretary.

[FR Doc.77-28272 Filed 9-28-77;8:45 am]

[4210–01]

[Docket No. FI–3141]

PART 1917—APPEALS FROM FLOOD ELEVATION DETERMINATIONS AND JUDICIAL REVIEW

Final Flood Elevation Determination for the Village of Panama, Chautauqua County, N.Y.

AGENCY: Federal Insurance Administration, HUD.

ACTION: Final rule.

SUMMARY: Final base flood elevations (100-year flood) are listed below for selected locations in the village of Panama, Chautauqua County, N.Y. These base flood elevations are the basis for the flood plain management measures that the community is required to either adopt or show evidence of being already in effect in order to qualify or remain qualified for participation in the National Flood Insurance Program (NFIP).

EFFECTIVE DATE: On publication of the Flood Insurance Rate Map for the village of Panama, Chautauqua County, N.Y.

ADDRESSES: Maps and other information showing the detailed outlines of the flood-prone areas and the final elevations for the village of Panama, Chautauqua County, N.Y., are available for review at the Panama Post Office, East Main Street, Panama, N.Y.

FOR FURTHER INFORMATION CONTACT:

Mr. Richard Krimm, Assistant Administrator, Office of Flood Insurance, (202–755–5581) or toll free line (800–424–8872), Room 5270, 451 Seventh Street SW., Washington, D.C. 20410.

SUPPLEMENTARY INFORMATION: The Federal Insurance Administrator gives notice of his final determinations of flood elevations for the village of Panama Chautauqua County, N.Y.

This final rule is issued in accordance with section 110 of the Flood Disaster Protection Act of 1973 (Pub. L. 93–234), 87 Stat. 980, which added section 1363 to the National Flood Insurance Act of 1968 (Title XIII of the Housing and Urban Development Act of 1968 (Pub. L. 90–448), 42 U.S.C. 4001–4128, and 24 CFR Part 1917). An opportunity for the community or individuals to appeal this determination to or through the community for a period of ninety (90) days has been provided. No appeals of the proposed base flood elevations were received from the community or from individuals within the community.

The Administrator, to whom the Secretary has delegated the statutory authority, has developed criteria for flood plain management in flood-prone areas in accordance with 24 CFR Part 1910.

The final 100-year flood elevations for selected locations are:

Source of flooding	Location	Elevation in feet, national geodetic vertical datum
Little Brokenstraw Creek:	Downstream Corporate Limits.	1,509
	South Broadway St	1,541
	Pond Rd. (extended)	1,609
	Top of Weir at pond	1,619

(National Flood Insurance Act of 1968 (Title XIII of Housing and Urban Development Act of 1968), effective January 28, 1969 (33 FR 17804, November 28, 1968), as amended; 42 U.S.C. 4001–4128; and Secretary's delegation of authority to Federal Insurance Administrator, 34 FR 2680, February 27, 1969, as amended (39 FR 2787, January 24, 1974).)

Issued August 26, 1977.

PATRICIA ROBERTS HARRIS,
Secretary.

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federal register

THURSDAY, SEPTEMBER 29, 1977

PART IV



TREASURY DEPARTMENT

Internal Revenue Service

■

FEDERAL COLLECTION AND ADMINISTRATION OF QUALIFIED STATE INDIVIDUAL INCOME TAXES

Reports of Joint Committee on Taxation; Proposed Rulemaking

[4830–01]

DEPARTMENT OF THE TREASURY

Internal Revenue Service

[26 CFR Parts 1, 31, 32, and 301]

[IR–2150]

FEDERAL COLLECTION AND ADMINISTRATION OF QUALIFIED STATE INDIVIDUAL INCOME TAXES; REPORTS TO JOINT COMMITTEE ON TAXATION

Notice of Proposed Rulemaking

AGENCY: Internal Revenue Service, Treasury.

ACTION: Notice of proposed rulemaking.

SUMMARY: This document contains proposed regulations relating to the Federal collection and administration of qualified State individual income taxes. Changes to the applicable tax law were made by the Federal-State Tax Collection Act of 1972 as amended by the Tax Reform Act of 1976. The regulations would provide the States with guidance needed in determining whether to elect Federal collection and administration of their individual income taxes.

DATES: Written comments and requests for a public hearing must be delivered or mailed by December 14, 1977. Federal collection and administration of qualified State individual income taxes will go into effect on the first January 1 which is more than one year after the first date on which at least one State has filed a notice of its election with the Secretary of the Treasury or his delegate.

ADDRESS: Send comments and requests for a public hearing to Commissioner of Internal Revenue, Attention: CC:LR:T, LR–2150, Washington, D.C. 20224.

FOR FURTHER INFORMATION CONTACT:

William E. Mantle of the Legislation and Regulations Division, Office of the Chief Counsel, Internal Revenue Service, 1111 Constitution Avenue NW., Washington, D.C. 20224, Attention: CC:LR:T, 202–566–3734.

SUPPLEMENTARY INFORMATION:

Background

This document contains proposed amendments to the Income Tax Regulations (26 CFR Part 1), the Employment Tax Regulations (26 CFR Part 31), the Temporary Employment Tax Regulations Under the Tax Reform Act of 1969 (26 CFR Part 32), and the Regulations on Procedure and Administration (26 CFR Part 301). These amendments are proposed to conform the regulations to sections 202(a), 203(a), and 204 (a) and (b) of the Federal-State Tax Collection Act of 1972 (86 Stat. 936, 944, 945), and to section 2116 of the Tax Reform Act of 1976 (90 Stat. 1910). The amendments are to be issued under the authority contained in sections 6364 and 7805 of the Internal Revenue Code of 1954 (86 Stat. 944, 26 U.S.C. 6364 and 68A Stat. 917, 26 U.S.C. 7805).

In General

In essence, the new law provides a system whereby the Federal Government will collect individual income taxes imposed by a State which elects to participate in the system. Those taxes will be collected as if they were Federal income taxes and the revenue collected will be turned over to the electing State. No fee or other charge will be imposed on any State for the collection or administration of its individual income taxes. In the interest of administrability, a State tax which is eligible for Federal collection (a "qualified tax") must conform to certain explicit specifications contained in the statute and the regulations. Such qualified taxes conform generally to the Federal income tax.

"Piggybacking", as it is generally known, was designed to increase the efficiency of collecting State taxes by eliminating duplication of effort by State and Federal tax administrators, eliminating duplicate recordkeeping by taxpayers, establishing uniform treatment for individual taxpayers at both the State and Federal levels, providing faster collection of State income taxes, and freeing State courts from individual income tax controversies.

Imposition of Qualified Tax

A qualified State tax may be imposed on nonresidents as well as residents, at the option of the State. Rules are set forth to determine who is a resident, and what income of nonresident is subject to tax. A qualified resident tax may be either based on Federal taxable income or a percentage of Federal tax liability, in either case with certain mandatory and optional adjustments. One of the optional adjustments to either type of qualified resident tax is a credit against the tax for the taxpayer's income tax liability to another State or a political subdivision thereof. In addition, States are permitted to enter into reciprocal agreements under which all residents of one State are exempted from liability for the other State's qualified nonresident tax.

Federal Representation of State

The proposed regulations provide, in accordance with the statutory policy, that the Federal Government will generally represent the State's interest in any administrative or judicial proceeding involving a qualified tax. However, the right of the State to represent its own interest is preserved in State court litigation relating to the State constitution and in certain litigation involving the relationship between the United States and the State. In addition, States may be permitted to carry on certain supplemental operations, including audits and examinations of tax returns. However, all administrative determinations with respect to the qualified tax liability of an individual are to be made by the Federal Government, and are not reviewable by the State.

Transfer of Tax to States

Amounts collected with respect to qualified taxes are to be transferred on a current basis to the State on the basis of estimates, with adjustments to be made at least annually when figures relating to the actual amounts collected are available.

Election by States

The proposed regulations contain guidelines indicating the steps that must be followed by a State in electing, or withdrawing from, piggybacking. In addition, provision is made for the State to obtain judicial review of an adverse determination by the Federal Government with respect to the qualification of the State tax laws or the validity of the State's notice of election.

Effective Date

Piggybacking will go into effect on the first January 1 which is more than one year after the first date on which at least one State has filed a notice of its election with the Secretary of the Treasury or his delegate.

Comments and Requests for a Public Hearing

Before adopting these proposed regulations, consideration will be given to any written comments that are submitted (preferably six copies) to the Commissioner of Internal Revenue. All comments will be available for public inspection and copying. A public hearing will be held upon written request to the Commissioner by any person who has submitted written comments. If a public hearing is held, notice of the time and place will be published in the Federal Register.

Drafting Information

Principal author of these proposed regulations was William E. Mantle of the Legislation and Regulations Division of the Office of Chief Counsel, Internal Revenue Service. However, personnel from other offices of the Internal Revenue Service and Treasury Department participated in developing the regulations, both on matters of substance and style.

Proposed Amendments to the Regulations

The proposed amendments to 26 CFR Parts 1, 31, 32, and 301 are as follows:

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

Paragraph 1. So much of paragraph (a) of § 1.164–1 as follows subparagraph (5) thereof is amended to read as follows:

§ 1.164–1 Deduction for taxes.

(a) *In general.* * * *

(5) * * *

In addition, there shall be allowed as a deduction under this section State and local, and foreign, taxes not described in

subparagraphs (1) through (5) of this paragraph which are paid or accrued within the taxable year in carrying on a trade or business or an activity described in section 212 (relating to expenses for production of income). For example, dealers or investors in securities and dealers or investors in real estate may deduct State stock transfer and real estate transfer taxes, respectively, under section 164, to the extent they are expenses incurred in carrying on a trade or business or an activity for the production of income. In general, taxes are deductible only by the person upon whom they are imposed. However, see § 1.164–5 in the case of certain taxes paid by the consumer. Also, in the case of a qualified State individual income tax (as defined in section 6362 and the regulations thereunder) which is determined by reference to a percentage of the Federal income tax (pursuant to section 6362 (c)), an accrual method taxpayer shall use the cash receipts and disbursements method to compute the amount of his deduction therefor. Thus, the deduction under section 164 is in the amount actually paid with respect to the qualified tax, rather than the amount accrued with respect thereto, during the taxable year even though the taxpayer uses the accrual method of accounting for other purposes. In addition, see paragraph (f) (1) of § 301.6361–1 of this chapter (Regulations on Procedure and Administration) with respect to rules relating to allocation and reallocation of amounts collected on account of the Federal income tax and qualified taxes.

* * * * *

PAR. 2. Section 1.451–1 is amended by adding at the end thereof a new paragraph (e), to read as follows:

§ 1.451–1 General rule for taxable year of inclusion.

* * * * *

(e) *Special rule for inclusion of qualified tax refund effected by allocation.* For rules relating to the inclusion in income of an amount paid by a taxpayer in respect of his liability for a qualified State individual income tax and allocated or reallocated in such a manner as to apply it toward the taxpayer's liability for the Federal income tax, see paragraph (f) (1) of § 301.6361–1 of this chapter (Regulations on Procedure and Administration).

PAR. 3. Paragraphs (a) and (d) of § 1.6001–1 are amended to read as follows:

§ 1.6001–1 Records.

(a) *In general.* Except as provided in paragraph (b) of this section, any person subject to tax under subtitle A of the Code (including a qualified State individual income tax which is treated pursuant to section 6361(a) as if it were imposed by chapter 1 of subtitle A), or any person required to file a return of information with respect to income, shall keep such permanent books of account or records, including inventories, as are sufficient to establish the amount of gross income, deductions, credits, or other matters required to be shown by such person in any return of such tax or information.

* * * * *

(d) *Notice by district director requiring returns, statements, or the keeping of records.* The district director may require any person, by notice served upon him, to make such returns, render such statements, or keep such specific records as will enable the district director to determine whether or not such person is liable for tax under subtitle A of the Code, including qualified State individual income taxes, which are treated pursuant to section 6361(a) as if they were imposed by chapter 1 of subtitle A.

PAR. 4. There is inserted immediately after § 1.6001–1 the following new section:

§ 1.6001–2 Returns.

For rules relating to returns required to be made by every individual, estate, or trust which is liable for one or more qualified State individual income taxes, as defined in section 6362, for a taxable year, see paragraph (b) of § 301.6361–1 of this chapter (Regulations on Procedure and Administration).

Par. 5. Paragraph (a) (2) of § 1.6012–1 is amended by adding at the end thereof a new subdivision (vi), to read as follows:

§ 1.6012–1 Individuals required to make returns of income.

(a) *Individual citizen or resident.*

* * * * *

(2) *Special rules.* * * *

(vi) For rules relating to returns required to be made by every individual who is liable for one or more qualified State individual income taxes, as defined in section 6362, for a taxable year, see paragraph (b) of § 301.6361–1 of this chapter (Regulations on Procedure and Administration).

Par. 6. Paragraph (a) of § 1.6012–3 is amended by adding at the end thereof a new subparagraph (8), to read as follows:

§ 1.6012–3 Returns by fiduciaries.

(a) *For estate and trusts.* * * *

(8) *Estates and trusts liable for qualified tax.* In the case of an estate or trust which is liable for one or more qualified State individual income taxes, as defined in section 6362, for a taxable year, see paragraph (b) of § 301.6361–1 of this chapter (Regulations on Procedure and Administration) for rules relating to returns required to be made.

Par. 7. Section 1.6015 (c)–1 is amended to read as follows:

§ 1.6015(c)–1 Definition of estimated tax.

(a) *In general.* In the case of an individual, the term "estimated tax" means—

(1) The amount which the individual estimates as the amount of the income tax imposed by chapter 1 (other than the tax imposed by section 56 or, for taxable years ending before September 30, 1968, the tax surcharge imposed by section 51) for the taxable year (and including the amount which he estimates as the amount of any qualified State individual income taxes which are treated pursuant to section 6361(a) as if they were imposed by chapter 1 for the taxable year), plus

(2) For taxable years beginning after December 31, 1966, the amount which the individual estimates as the amount of the self-employment tax imposed by chapter 2 for the taxable year, minus

(3) The amount which the individual estimates as the sum of any credits against tax provided by part IV of subchapter A of chapter 1. These credits are those provided by section 31 (relating to tax withheld on wages), section 32 (relating to tax withheld at source on nonresident aliens and foreign corporations and on tax-free covenant bonds), section 33 (relating to foreign taxes), section 34 (relating to the credit for dividends received on or before December 31, 1964), section 35 (relating to partially tax-exempt interest), section 37 (relating to the elderly) section 38 (relating to the investment credit), section 39 (relating to certain uses of gasoline, special fuels, and lubricating oil), section 40 (relating to expenses of work incentive programs), section 41 (relating to contributions to candidates), section 42 (relating to general tax credit), section 43 (relating to earned income), section 44 (relating to purchase of new principal residence), section 44A (relating to expenses for household and dependent care services necessary for gainful employment), section 44B (relating to credit for employment of certain new employees), and section 45 (relating to overpayments of tax), and also minus

(4) In the case of an individual who is subject to one or more qualified State individual income taxes, the amount which he estimates as the sum of the credits allowed against such taxes pursuant to section 6362(b) (2) (B) or (C) or section 6362(c) (4) and paragraph (c) of § 301.6362–4 of this chapter (Regulations on Procedure and Administration) (relating to the credit for income taxes of other States or political subdivisions thereof) and paragraph (c) (2) of § 301.6361–1 (relating to the credit for tax withheld from wages on account of qualified State individual income taxes).

(b) *Example.* A, a self-employed individual not subject to any qualified State individual income tax, estimates that his liabilities for income tax and self-employment tax for 1973 will be $1,600 and $400, respectively. A is required to declare and pay an estimated tax of $2,000 for that year.

Par. 8. The following new section is inserted immediately after § 1.6302–2:

§ 1.6361–1 Collection and administration of qualified State individual income taxes.

Except as otherwise provided in §§ 301.6361–1 to 301.6365–2, inclusive, of this chapter (Regulations on Procedure and Administration), the provisions of this part under subtitle F of the In-

ternal Revenue Code of 1954 relating to the collection and administration of the taxes imposed by chapter 1 of such Code on the incomes of individuals (or relating to civil or criminal sanctions with respect to such collection and administration) shall apply to the collection and administration of qualified State individual income taxes (as defined in section 6362 of such Code and the regulations thereunder) as if such taxes were imposed by chapter 1.

Par. 9. Section 1.6654–1 is amended by revising paragraph (a) (1) and (4) to read as follows:

§ 1.6654–1 Addition to the tax in the case of an individual.

(a) *In general.* (1) Section 6654 imposes an addition to the taxes under chapters 1 and 2 of the Code in the case of any underpayment of estimated tax by an individual (with certain exceptions described in section 6654(d)), including any underpayment of estimated qualified State individual income taxes which are treated pursuant to section 6361(a) as if they were imposed by chapter 1. This addition to the tax is in addition to any applicable criminal penalties and is imposed whether or not there was reasonable cause for the underpayment. The amount of the underpayment for any installment date is the excess of—

(i) The following percentages of the tax shown on the return for the taxable year or, if no return was filed, of the tax for such year, divided by the number of installment dates prescribed for such taxable year:

(A) 80 percent in the case of taxable years beginning after December 31, 1966, of individuals not referred to in section 6073(b) (relating to income from farming or fishing);

(B) 70 percent in the case of taxable years beginning before January 1, 1967, of such individuals; and

(C) 66⅔ percent in the case of individuals referred to in section 6073(b); over

(ii) The amount, if any, of the installment paid on or before the last day prescribed for such payment.

* * * * *

(4) The term "tax" when used in subparagraph (1)(i) of this paragraph shall mean—

(i) The tax imposed by chapter 1 of the Code (other than by section 56 or, for taxable years ending before September 30, 1968, the tax surcharge imposed by section 51), including any qualified State individual income taxes which are treated pursuant to section 6361(a) as if they were imposed by chapter 1, plus

(ii) For taxable years beginning after December 31, 1966, the tax imposed by chapter 2 of the Code, minus

(iii) All credits allowed by part IV, subchapter A of chapter 1, except the credit provided by section 31, relating to tax withheld at source on wages, and also minus

(iv) In the case of an individual who is subject to one or more qualified State individual incomes taxes, the sum of the credits allowed against such taxes pursuant to section 6362(b)(2) (B) or (C) or section 6362(c)(4) and paragraph (c) of § 301.6362–4 of this chapter (Regulations on Procedure and Administration) (relating to the credit for income taxes of other States or political subdivisions thereof) and paragraph (c)(2) of § 301.6361–1) relating to the credit for tax withheld from wages on account of qualified State individual income taxes).

Par. 10. Paragraph (b)(1) of section 1.6654–2 is amended to read as follows:

§ 1.6654–2 Exceptions to imposition of the addition to the tax in the case of individuals.

* * * * *

(b) *Meaning of terms.* * * *

(1) The term "tax" means—

(i) The tax imposed by chapter 1 of the Code (other than by section 56), including any qualified State individual income taxes which are treated pursuant to section 6361 (a) as if they were imposed by chapter 1, plus

(ii) For taxable years beginning after December 31, 1966, the tax imposed by chapter 2 of the Code, minus

(iii) The credits against tax allowed by part IV, subchapter A, chapter 1 of the Code, other than the credit against tax provided by section 31 (relating to tax withheld on wages), and without reduction for any payments of estimated tax, and also minus

(iv) In the case of an individual who is subject to one or more qualified State individual income taxes, the sum of the credits allowed against such taxes pursuant to section 6262(b)(2) (B) or (C) or section 6262(c)(4) and paragraph (c) of § 301.6362–4 of this chapter (Regulations on Procedure and Administration) (relating to the credit for income taxes of other States or political subdivisions thereof) and paragraph (c)(2) of § 301.6361–1 (relating to the credit for tax withheld from wages on account of qualified State individual income taxes).

PART 31—EMPLOYMENT TAXES; APPLICABLE ON OR AFTER JANUARY 1, 1955

Par. 11. Section 31.3402(f)(2)–1 is amended by adding at the end thereof a new paragraph (e), to read as follows:

§ 31.3402(f)(2)–1 Withholding exemption certificates.

* * * * *

(e) *Applicability of withholding exemption certificate to qualified State individual income taxes.* The withholding exemption certificate shall be used for purposes of withholding with respect to qualified State individual income taxes as well as Federal tax. For provisions relating to the withholding exemption certificate with respect to such State taxes, see paragraph (d)(3)(i) of § 301.6361–1 of this chapter (Regulation on Procedure and Administration).

Par. 12. So much of § 31.3402(n)–1 as follows paragraph (b) and precedes example (1) is amended to read as follows:

§ 31.3402(n)–1 Employees incurring no income tax liability.

* * * * *

For purposes of section 3402(n) and this section, an employee is not considered to incur liability for income tax imposed under subtitle A if the amount of such tax is equal to or less than the total amount of credits against such tax which are allowable to him under part IV of subchapter A of chapter 1 of the Code, other than those allowable under section 31 or 39. For purposes of section 3402(n) and this section, "liability for income tax imposed under subtitle A" shall include liability for a qualified State individual income tax which is treated pursuant to section 6361(a) as if it were imposed by chapter 1 of the Code. An employee is not considered to incur liability for such a State income tax if the amount of such tax does not exceed the total amount of the credit against such tax which is allowable to him under section 6362(b)(2) (B) or (C) or section 6362(c)(4). For purposes of this section, an employee who files a joint return under section 6013 is considered to incur liability for any tax shown on such return. An employee who is entitled to file a joint return under such section shall not certify that he anticipates that he will incur no liability for income tax imposed by subtitle A for his current taxable year if such statement would not be true in the event that he files a joint return for such year, unless he filed a separate return for his preceding taxable year and anticipates that he will file a separate return for his current taxable year.

* * * * *

Par. 13. Paragraph (b)(1)(ii) (c) of § 31.3402 (p)–1 is amended to read as follows:

§ 31.3402(p)–1 Voluntary withholding agreements.

* * * * *

(b) *Form and duration of agreement.* (1) * * *

(ii) * * *

(c) A statement that the employee desires withholding of Federal income tax, and, if applicable, of qualified State individual income tax (see paragraph (d)(3)(i) of § 301.6361–1 of this chapter (Regulations on Procedure and Administration)), and

* * * * *

Par. 14. Paragraph (a) of § 31.6011 (a)–4 is amended to read as follows:

§ 31.6011(a)–4—Returns of income tax withheld from wages.

(a) *In general.* (1) Except as otherwise provided in subparagraph (3) of this paragraph and in § 31.6011(a)–5, every person required to make a return of income tax withheld from wages pursuant to section 1622 of the Internal Revenue Code of 1939 for the calendar quarter ended December 31, 1954, shall make a return for each subsequent calendar quarter (whether or not wages are paid therein) until he has filed a final return in accordance with § 31.6011(a)–6. Except as otherwise provided in subpara-

graph (3) of this paragraph and in § 31.6011(a)–5, every person not required to make a return for the calendar quarter ended December 31, 1954, shall make a return of income tax withheld from wages pursuant to section 3402 for the first calendar quarter thereafter in which he is required to deduct and withhold such tax and for each subsequent calendar quarter (whether or not wages are paid therein) until he has filed a final return in accordance with § 31.6011(a)–6. Except as otherwise provided in § 31.6011(a)–8 and in subparagraphs (2) and (3) of this paragraph, Form 941 is the form prescribed for making the return required under this paragraph. For the requirements relating to Form 941 with respect to qualified State individual income taxes, see paragraph (d)(3)(iv) of § 301.6361–1 of this chapter (Regulations on Procedure and Administration).

(2) Form 942 is the form prescribed for making the return required under subparagraph (1) of this paragraph with respect to income tax withheld, pursuant to an agreement under section 3402(p), from wages paid for domestic service in a private home of the employer not on a farm operated for profit. The preceding sentence shall not apply in the case of an employer who has elected under paragraph (a)(3) of § 31.6011(a)–1 to use Form 941 as his return with respect to such payments for purposes of the Federal Insurance Contributions Act. For the requirements relating to Form 942 with respect to qualified State individual income taxes, see paragraph (d)(3)(iv) of § 301.6361–1.

(3) Every person shall make a return of income tax withheld, pursuant to an agreement under section 3402 (p), from wages paid for agricultural labor for the first calendar year in which he is required (by reason of such agreement) to deduct and withhold such tax and for each subsequent calendar year (whether or not wages for agricultural labor are paid therein) until he has filed a final return in accordance with § 31.6011(a)–6. Form 943 is the form prescribed for making the return required under this subparagraph. For the requirements relating to Form 943 with respect to qualified State individual income taxes, see paragraph (d)(3)(iv) of § 301.6361–1.

* * * * *

Par. 15. So much of paragraph (a)(1)(i) of § 31.6051–1 as follows (*f*) thereof is amended to read as follows:

§ 31.6051–1 Statements for employees.

(a) *Requirement if wages are subject to withholding of income tax*—(1) *General rule.* (i) * * *

(*f*) * * *

See paragraph (d) of this section for provisions relating to the time for furnishing the statement required by this subparagraph. See paragraph (f) of this section for an exception for employers filing composite returns from the requirement that statements for employees be on Form W–2. For the requirements relating to Form W–2 with respect to qualified State individual income taxes, see paragraph (d)(3)(ii) of § 301.6361–1 of this chapter (regulations on Procedure and Administration).

* * * * *

Par. 16. Paragraph (a)(1)(iii) of § 31.6302(c)–1 is amended to read as follows:

§ 31.6302(c)–1 Use of Government depositaries in connection with taxes under Federal Insurance Contributions Act and income tax withheld.

(a) *Requirement*—(1) *In general.* * * *

(iii) As used in subdivision (i) and (ii) of this subparagraph, the term "taxes" means—

(*a*) The employee tax withheld under section 3102,

(*b*) The employer tax under section 3111, and

(*c*) The income tax withheld under section 3402, including amounts withheld with respect to qualified State individual income taxes,

exclusive of taxes with respect to wages for domestic service in a private home of the employer or, if paid before April 1, 1971, wages for agricultural labor. In addition, with respect to wages paid after December 31, 1970, and before April 1, 1971, for agricultural labor, any taxes described in subparagraph (2)(ii) of this paragraph which are not required under such subparagraph to be deposited, and any income tax (including qualified State individual income tax) withheld under section 3402 with respect to such wages, shall be deemed to be "taxes" on and after April 1, 1971. For the requirements relating to the deposit and payment of withheld tax with respect to qualified State individual income taxes, see paragraph (d)(3)(iii) of § 301.6361–1 of this chapter (Regulations on Procedure and Administration).

* * * * *

Par. 17. The following new section is inserted immediately after § 31.6317:

§ 31.6361–1 Collection and administration of qualified State individual income taxes.

Except as otherwise provided in §§ 301.6361–1 to 301.6365–2, inclusive, of this chapter (Regulations on Procedure and Administration), the provisions of this part under subtitle F or chapter 24 of the Internal Revenue Code of 1954 relating to the collection and administration of the taxes imposed by chapter 1 of such Code on the incomes of individuals (or relating to civil or criminal sanctions with respect to such collection and administration) shall apply to the collection and administration of qualified State individual income taxes (as defined in section 6362 of such Code and the regulations thereunder) as if such taxes were imposed by chapter 1 or chapter 24.

PART 32—TEMPORARY EMPLOYMENT TAX REGULATIONS UNDER THE TAX REFORM ACT OF 1969

Par. 18. Paragraphs (b) and (f)(2) of § 32.1 are amended to read as follows:

§ 32.1 Extension of withholding of income tax at source on wages to annuity payments if requested by payee.

* * * * *

(b) *Manner of making request.* A payee who wishes a payer to deduct and withhold income tax from annuity payments shall file a request with the payer to deduct and withhold a specific whole dollar amount from each annuity payment. Such specific dollar amount requested shall be at least $5 per month and shall not reduce the net amount of any annuity payment received by the payee below $10. The request shall be made on Form W–4P (annuitant's withholding exemption certificate and request) in accordance with the instructions applicable thereto, and shall set forth fully and clearly the data therein called for. In lieu of Form W–4P, payers may prepare and use a form the provisions of which are identical with those of Form W–4P. For the requirements relating to Form W–4P with respect to qualified State individual income taxes, see paragraph (d)(3)(i) of § 301.6361–1 of this chapter (Regulations on Procedure and Administration).

* * * * *

(f) *Returns of income tax withheld and statements for payees.* * * *

(2) Each statement on Form W–2P shall show the following:

(i) The gross amount of annuity payments made during the calendar year, whether or not income tax withholding under this section was in effect with respect to all such payments,

(ii) The total amount deducted and withheld as tax under section 3402 of this section, and

(iii) The information required to be shown by Form W–2P and the instructions applicable thereto.

For the requirements relating to Form W–2P with respect to qualified State individual income taxes, see paragraph (d)(3)(ii) of § 301.6361–1 of this chapter (Regulations on Procedure and Administration).

* * * * *

PART 301—PROCEDURE AND ADMINISTRATION

Par. 19. Paragraph (c) of § 301.6212–1 is amended to read as follows:

§ 301.6212–1 Notice of deficiency.

* * * * *

(c) *Further deficiency letters restricted.* If the district director (or assistant regional commissioner, appellate) mails to the taxpayer notice of a deficiency, and the taxpayer files a petition with the Tax Court within the prescribed period, no additional deficiency may be determined with respect to income tax for the same taxable year, gift tax for the same calendar quarter (calendar year with respect to gifts made before January 1, 1971), or estate tax with respect to the taxable estate of the same decedent. This rectriction shall not apply in the case of fraud, assertion of de-

ficiencies with respect to any qualified tax (as defined in paragraph (b) of § 301.6361–4) in respect of which no deficiency was asserted for the taxable year in the notice, assertion of deficiencies with respect to the Federal tax when deficiencies with respect to only a qualified tax (and not the Federal tax) were asserted for the taxable year in the notice, assertion of greater deficiencies before the Tax Court as provided in section 6214(a), mathematical errors as provided in section 6213(b)(1), or jeopardy assessments as provided in section 6961(c).

Par. 20. Section 301.6321–1 is amended to read as follows:

§ 301.6321–1 Lien for taxes.

If any person liable to pay any tax neglects or refuses to pay the same after demand, the amount (including any interest, additional amount, addition to tax, or assessable penalty, together with any costs that may accrue in addition thereto, shall be a lien in favor of the United States upon all property and rights to property, whether real or personal, tangible or intangible, belonging to such person. For purposes of section 6321 and this section, the term "any tax" shall include a State individual income tax which is a "qualified tax", as defined in paragraph (b) of § 301.6361–4. The lien attaches to all property and rights to property belonging to such person at any time during the period of the lien, including any property or rights to property acquired by such person after the lien arises. Solely for purposes of sections 6321 and 6331, any interest in restricted land held in trust by the United States for an individual noncompetent Indian (and not for a tribe) shall not be deemed to be property, or a right to property, belonging to such Indian. For the method of allocating amounts collected pursuant to a lien between the Federal Government and a State or States imposing a qualified tax with respect to which the lien attached, see paragraph (f) of § 301.6361–1. For the special lien for estate and gift taxes, see section 6324 and §301.6324–1.

Par. 21. The following new sections are inserted immediately after § 301.6344:

§ 301.6361–1 Collection and administration of qualified taxes.

(a) *In general.* In the case of any State which has in effect a State agreement (as defined in paragraph (a) of § 301.6361–4), the Commissioner of Internal Revenue shall collect and administer each qualified tax (as defined in paragraph (b) of § 301.6361–4) of such State. No fee or other charge shall be imposed upon any State for the collection or administration of any qualified tax of such State or any other State. In any such case of collection and administration of qualified taxes, the provisions of subtitle F (relating to procedure and administration), subtitle G (relating to the Joint Committee on Taxation), and chapter 24 (relating to the collection of income tax at source on wages), and the provisions of regulations thereunder, insofar as such provisions relate to the collection and administration of the taxes imposed on the income of individuals by chapter 1 (and the civil and criminal sanctions provided by subtitle F, or by title 18 of the United States Code (relating to crimes and criminal procedure), with respect to such collection and administration) shall apply to the collection and administration of qualified taxes as if such taxes were imposed by chapter 1, except to the extent that the application of such provisions (and sanctions) are modified by regulations issued under subchapter E (as defined in paragraph (d) of § 301.6361–4). Any extension of time which is granted for the making of a payment, or for the filing of any return, which relates to any Federal tax imposed by subtitle A (or by subtitle C with respect to filing a return) shall constitute automatically an extension of the same amount of time for the making of the corresponding payment or for the filing of the corresponding return relating to any qualified tax.

(b) *Returns of qualified taxes.* Every individual, estate, or trust which has liability for one or more qualified taxes for a taxable year—

(1) Shall file a Federal income tax return at the time prescribed pursuant to section 6072(a) (whether or not such return is required by section 6012), and shall file therewith on the prescribed form a return under penalties of perjury for each tax which is—

(i) A qualified resident tax imposed by a State of which the taxpayer was a resident, as defined in § 301.6362–6, for any part of the taxable year;

(ii) A qualified nonresident tax imposed by a State within which was located the source or sources from which the taxpayer derived, while not a resident of such State and while not exempt from liability for the tax by reason of a reciprocal agreement between such State and the State of which he is a resident, 25 percent or more of his aggregate wage and other business income, as defined in paragraph (c) of § 301.6362–5, for the taxable year; or

(iii) A qualified resident or nonresident tax with respect to which any amount was currently collected from the taxpayer's income (including collection by withholding on wages or by payment of estimated income tax), as provided in paragraph (f) of § 301.6362–6, for any part of the taxable year; and

(2) Shall declare (in addition to the declaration required with respect to the return of the Federal income tax and in the place and manner prescribed by form or instructions thereto) under penalties of perjury that, to the best of the knowledge and belief of the taxpayer (or, in the case of an estate or trust, of the fiduciary who executes the Federal income tax return), he has no liability for any qualified tax for the taxable year other than any such liabilities returned with the Federal income tax return (pursuant to subparagraph (1) of this paragraph). Such declaration shall constitute a return indicating no liability with respect to each qualified tax other than any such tax for which liability is so returned. A Federal income tax return form which is filed but which does not contain such declaration shall constitute a Federal income tax return only if the taxpayer in fact has no liability for any qualified State tax for the taxable year.

(c) *Credits.*—(1) *Credit for tax of another State or political subdivision.*—(i) *In general.* A credit allowable under a qualified tax law against the tax imposed by such law for a taxpayer's tax liability to another State or a political subdivision of another State shall be allowed if the requirements of subdivision (ii) of this subparagraph are met, and if the credit meets the requirements of paragraph (c) of § 301.6362–4. Such credit shall be allowed without regard to whether the tax imposed by the other State or subdivision thereof is a qualified tax, and without regard to whether such tax has been paid.

(ii) *Substantiation of tax liability for which a credit is allowed.* If the liability which gives rise to a credit of the type described in subdivision (i) of this subparagraph is with respect to a qualified tax, then the fact of such liability shall be substantiated by filing the return on which such liability is reported. If such liability is not with respect to a qualified tax, then the Commissioner may require a taxpayer who claims entitlement to such a credit to complete a form to be submitted with his return of the qualified tax against which the credit is claimed. On such form the taxpayer shall identify each of the other States (the liabilities to which were not substantiated as provided in the first sentence of this subdivision) or political subdivisions to which the taxpayer reported a liability for a tax giving rise to the credit, furnish the name or description of each such tax, state the amount of the liability so reported with respect to each such tax and the beginning and ending dates of the taxable period for which such liability was reported, and provide such other information as is requested in the form or in the instructions thereto. In addition, the taxpayer shall agree on such form to notify the Commissioner in the event that the amount of any tax liability (or portion thereof) which is claimed as giving rise to a credit of the type described in subdivision (i) of this subparagraph is changed or adjusted, whether as a result of an amended return filed by the taxpayer, a determination by the jurisdiction imposing the tax, or in any other manner.

(2) *Credit or withheld qualified tax.* An individual from whose wages an amount is withheld on account of a qualified tax shall receive a credit for such amount against his aggregate liability for all such qualified taxes and the Federal income tax for the taxable year, whether or not such tax has been paid over to the Federal Government by the employer. The credit shall operate in the manner provided by section 31(a) of the Code and the regulations thereunder with respect to Federal income tax withholding.

(d) *Collection of qualified taxes at source on wages.*—(1) *In general.* Except as otherwise provided in subparagraph (2) of this paragraph, every employer making payment of wages to an employee described in such subparagraph shall deduct and withhold upon such wages the amount prescribed with respect to the qualified tax designated in such subparagraph. The amounts prescribed for withholding with respect to each such qualified tax shall be published in Circular E (Employer's Tax Guide) or other appropriate Internal Revenue Service publications. See paragraph (f) (1) of § 301.6362–7 with respect to civil and criminal penalties to which an employer shall be subject with respect to his responsibilities relating to qualified taxes.

(2) *Specific withholding requirements.* An employer shall deduct and withhold upon an employee's wages the amount prescribed with respect to a qualified tax with respect to which such employee is subject to the current collection provisions pursuant to paragraph (f) of § 301.6362–6, unless:

(i) In the case of a qualified resident tax, the employee's services giving rise to the wages are performed in another State, and such other State or a political subdivision thereof imposes a nonresident tax on such employee with respect to which the withholding amount exceeds the prescribed withholding amount with respect to such qualified resident tax, and the State imposing such qualified resident tax grants a credit against it for such nonresident tax.

(ii) In the case of a qualified nonresident tax, either:

(A) Residents of the State in which the employee resides are exempt from liability for the qualified nonresident tax imposed by the State from sources within which his wage income is derived, by reason of an interstate compact or agreement to which the two States are parties, or

(B) The State in which the employee resides imposes a qualified resident tax on such employee with respect to which the prescribed withholding amounts exceed the prescribed withholding amounts with respect to the qualified nonresident tax imposed by the State from sources within which his wage income is derived, and the State in which he resides grants a credit against its qualified resident tax for such qualified nonresident tax.

If the nonresident tax described in subdivision (i) of this subparagraph is a qualified nonresident tax imposed by a State, then the reference in such subdivision to the State in which the services are performed shall be construed as a reference to the State from sources within which the wage income is derived, within the meaning of paragraph (d) (1) of § 301.6362–5.

(3) *Forms, procedures, and returns relating to withholding with respect to qualified taxes.*—(i) *Forms W–4 and W–4P.* Forms W–4 (Employee's Withholding Allowance Certificate) and W–4P (Annuitant's Request for Income Tax Withholding), shall include information as to the State in which the employee resides, and shall be used for purposes of withholding with respect to both Federal and qualified taxes. An employee shall show on his Form W–4 the State in which he resides for purposes of this paragraph, and shall file a new Form W–4 within 10 days after he changes his State of residence. An employee who fails to meet either of the requirements set forth in the preceding sentence, with the intent to evade the withholding tax imposed with respect to a qualified tax, shall be subject to the penalty provided in section 7205 of the Code. An employer shall be responsible for determining the State within which are located the sources from which the employee's wage income is derived for purposes of this paragraph; and, if the employee does not file a Form W–4, the employer shall assume for such purposes that the employee resides in that State. When an employer and an employee enter into a voluntary withholding agreement pursuant to § 31.3402(p)–1, the employer shall withhold the amount prescribed with respect to the qualified resident tax imposed by the State in which the employee resides, as indicated on Form W–4. Similarly, if an annuitant requests withholding with respect to his annuity payments pursuant to section 3402 (o) (1) (B) of the Code, the payer shall withhold the whole dollar amount specified by the annuitant with respect to a qualified resident tax, provided that the combined withholding with respect to Federal and qualified taxes on each annuity payment shall be a whole dollar amount not less than $5, and that the net amount of any annuity payment received by the payee shall not be reduced to less than $10.

(ii) *Forms W–2 and W–2P.* Forms W–2 (Wage and Tax Statement) and W–2P (the corresponding form for annuities) shall show:

(A) The total amount withheld with respect to the Federal income tax;

(B) The total amount withheld with respect to qualified taxes;

(C) The name of each State imposing a qualified tax in which the employee (or annuitant) resided during the taxable year, as shown on Form W–4 (or W–4P);

(D) The name of each State imposing a qualified nonresident tax within which were located sources from which the employee's wage income was derived during a period of the taxable year in which he was not shown as a resident of such State on Form W–4, and the amount of the employee's wage income so derived; and

(E) The name of each State or locality that imposes an income tax which is not a qualified tax and with respect to which the employer withheld on the employee's wage income for the taxable year, and the amount of wage income with respect to which the employer so withheld.

(iii) *Requirements relating to deposit and payment of withheld tax.* Rules relating to the deposit and remittance of withheld Federal income and FICA taxes, including those prescribed in section 6302 of the Code and the regulations thereunder, shall apply also to amounts withheld with respect to qualified taxes. Thus, an employer's liability with respect to the deposit and payment of withheld taxes shall be for the combined amount of withholding with respect to Federal and qualified taxes. The Federal Tax Deposit form shall separately indicate:

(A) The combined total amount of Federal income, FICA, and qualified taxes withheld;

(B) The combined total amount of qualified taxes withheld; and

(C) The total amount of qualified taxes withheld with respect to each electing State.

Data indicating the total amount of tax deposits processed by the Internal Revenue Service with respect to the qualified taxes of an electing State will be available to that State upon request on as frequent as a weekly basis. These data will be available no later than 10 working days after the end of the calendar week in which the deposits were processed by the Service.

(iv) *Employment tax returns.* Forms 941 (Employer's Quarterly Federal Tax Return), 941–E (Quarterly Return of Withheld Income Tax), 941–M (Employer's Monthly Federal Tax Return), 942 (Employer's Quarterly Tax Return for Household Employees), and 943 (Employer's Annual Tax Return for Agricultural Employees), shall indicate the total amount withheld with respect to each qualified tax, as directed by such forms or their instructions.

(e) *Criminal penalties.* A criminal offense committed with respect to a qualified tax shall be treated as a separate offense from a similar offense committed with respect to the Federal tax. Thus, for example, if a taxpayer willfully attempts to evade both the Federal tax and a qualified tax by failing to report a portion of his income, he shall be considered as having committed two criminal offenses, each subject to a separate penalty under section 7201. See also § 301.6362–7 (f) with respect to criminal penalties.

(f) *Allocation of amounts collected with respect to tax and criminal fines*—(1) *In general.* The aggregate amount that has been collected from a taxpayer (including amounts collected by withholding) in respect of liability for both one or more qualified taxes and the Federal income tax for a taxable year shall be allocated among the Federal Government and the States imposing qualified taxes for which the taxpayer is liable in the proportion which the taxpayer's liability for each such tax bears to his aggregate liability for such year to all of such taxing jurisdictions with respect to such taxes. A reallocation shall be made either when an amount is collected from the taxpayer or his employer or is credited or refunded to the taxpayer, subsequent to the making of the initial allocation, or when a determination is made by the Commissioner that an error was made with respect to a previous allocation. However, any such allocation or reallocation shall not affect the amount of a taxpayer's or employer's liability to either jurisdiction, or the

amount of the assessment and collection which may be made with respect to a taxpayer or employer. Accordingly, such allocations and reallocations shall not be taken into consideration for purposes of the application of statutes of limitation or provisions relating to interest, additions to tax, penalties, and criminal sanctions.

See example (4) in subparagraph (4) of this paragraph. In addition, any such allocation or reallocation shall not affect the amount of the deduction to which a taxpayer is entitled under section 164 for a year in which he made payment (including payments made by withholding) of an amount which was designated as being in respect of his liability for a qualified tax. However, to the extent that an amount which was paid by a taxpayer and designated as being in respect of his liability for a qualified tax is allocated or reallocated in such a manner as to apply it toward the taxpayer's liability for the Federal income tax, such allocation or reallocation shall be treated as a refund to the taxpayer of an amount paid in respect of a State income tax, and shall be included in the gross income of the taxpayer to the extent appropriate under section 111 and the regulations thereunder in the year in which the allocation or reallocation is made. See section 451 and the regulations thereunder. Similarly, to the extent that an amount which was paid by a taxpayer and designated as being in respect of his Federal income tax liability is allocated or reallocated in such a manner as to apply it toward his liability for a qualified tax, such allocation or reallocation shall be treated as a payment made by the taxpayer in respect of a State income tax, and shall be deductible under section 164 in the year in which the allocation or reallocation is made. The Internal Revenue Service shall notify the taxpayer in writing of any allocation or reallocation of tax liabilities in a proportion other than that of the respective tax liabilities shown on the taxpayer's returns.

(2) *Amounts of collections and liabilities.* For purposes of this paragraph the aggregate amount that has been collected from a taxpayer or his employer in respect of tax liability shall include the amounts of interest provided in chapter 67, and additions to tax and assessable penalties provided in chapter 68, which are collected with respect to such tax; but shall not include criminal fines provided in chapter 75, or in title 18 of the United States Code, which are collected with respect to offenses relating to such tax. (See subparagraph (3) of this paragraph with respect to the treatment of such criminal fines.) However, for purposes of this paragraph, the amount of the taxpayer's liability for each tax shall exclude his liability for such interest, additions to tax, and assessable penalties with respect to such tax, and his liability for criminal fines imposed with respect to offenses relating to such tax. For purposes of this paragraph, the amount of the taxpayer's liability for each tax shall be computed by taking credits into account, except that there shall be no reduction for any amounts paid on account of such liability, whether by means of withholding, estimated tax payment, or otherwise.

(3) *Special rules relating to criminal fines.* (i) Except as otherwise provided in subdivision (ii) of this subparagraph, when a criminal charge is brought against a taxpayer with respect to a taxable year pursuant to chapter 75, or to title 18 of the United States Code, or to a corresponding provision of a qualified tax law, alleging that an offense was committed against the United States with respect to the Federal income tax or against a State with respect to a qualified tax, and an amount of money is collected by the Federal Government as a fine as a result of such charge, then the Federal Government shall remit an amount to each State, if any, which is an affected jurisdiction. The amount remitted to each such State shall bear the same proportion to the total amount collected as a fine as the taxpayer's liability with respect to the qualified taxes of that State bears to the aggregate of the taxpayer's income tax liabilities to all affected jurisdictions for the taxable year, as determined under subparagraphs (1) and (2) of this paragraph. For purposes of this subparagraph, an affected jurisdiction is (A) a jurisdiction with respect to the tax of which a criminal charge described in the preceding sentence was brought for the taxable year, or (B) a jurisdiction with respect to the Federal income tax or the qualified tax of which the acts or omissions alleged in such a criminal charge would constitute the basis for the bringing of a criminal charge for the same taxable year. However, in no case shall the amount received by an affected State, or the amount of the excess of the amount received by the Federal Government over the amount of its remissions to States, with respect to a fine exceed the maximum fine prescribed by statute for the offense against that jurisdiction with respect to which a criminal charge was brought, or with respect to which the bringing of a criminal charge could have been supported on the basis of the acts or omissions alleged in a criminal charge brought. For purposes of this subparagraph, the amount collected as a fine as a result of a criminal charge shall include amounts paid in settlement of an actual or potential liability for a fine, amounts paid pursuant to a conviction and amounts paid pursuant to a plea of guilty or nolo contendere.

(ii) If a criminal charge described in the first sentence of subdivision (i) of this subparagraph is actually brought with respect to the income tax of every affected jurisdiction with respect to the taxable year, and if a Court adjudicates on the merits the taxpayer's liability for a fine to each such jurisdiction, and includes in its decree a direction of the amount, if any, to be paid as a fine to each such jurisdiction, then that decree shall govern the allocation of the amount of money collected by the Federal Government as a fine with respect to the taxable year.

(4) *Examples.* The application of this paragraph may be illustrated by the following examples:

Example (1). The total combined amount of State X qualified tax and Federal income tax collected from A, a resident of State X, for the taxable year is $5,100. The amounts of A's liabilities for such taxes for that year are $800 to State X and $4,000 to the Federal Government. Since A's tax liability to State X is one-sixth of the combined tax liability ($4,800), one-sixth ($50) of the amount to be refunded to A ($300) is chargeable against State X's account, and five-sixths ($250) is chargeable against the Federal Government's account.

Example (2). Assume the same facts as in example (1) except that the total amount collected from A is $4,500. Since A's liabilities for the State X tax and the Federal tax are one-sixth and five-sixths, respectively, of the combined tax liability, the Federal Government shall pay over to State X one-sixth ($750) of the amount actually collected from A, and the Federal Government shall retain five-sixths ($3,750).

Example (3). The total amount of State X qualified tax, State Y qualified tax, and Federal income tax collected from B, a resident of State X who is employed in State Y, for the taxable year is $5,500. The amounts of B's liabilities for such taxes for that year are: $250 for the State X tax (after allowance of a credit for State Y's qualified tax), $750 for the State Y tax, and $4,000 for the Federal tax. Since B's liability for the State X tax ($250) is 5 percent of the combined tax liability ($5,000), his liability for the State Y tax ($750) is 15 percent of such combined liability, and his liability for the Federal tax $4,000) is 80 percent of such combined liability, the total amount to be refunded to B ($500) shall be chargeable in the following manner: 5 percent ($25) against State X's account, 15 percent ($75) against State Y's account, and 80 percent ($400) against the Federal Government's account.

Example (4). C is liable for $2,000 in Federal income tax and $500 in State X qualified tax (a resident tax) for the taxable year. However, on his Federal income tax return for such year, C erroneously described himself as a resident of State Y (which does not have a qualified tax), and he filed with such return his declaration to the effect that he had no qualified tax liability for the year. Accordingly, C paid only $2,000 for his Federal tax liability, and such amount was retained in the account of the Federal Government. Subsequently, C's error is discovered. The amount collected by the Federal Government from C for such year must be allocated between the Federal Government and State X in proportion to C's tax liability to both. Accordingly, the Federal Government must pay over to State X the amount of $400 (which is ⅕ ($500/$2,500) of the $2,000 collected). If the Federal Government collects from C the additional $500 owed, it will retain $400 of such amount and pay the remaining $100 to State X. Similarly, if the Federal Government collects from C any interest, or any additions to tax or assessable penalties under chapter 68, ⅘ of the amount of such collections shall be retained by the Federal Government, and ⅕ of such amount shall be paid over to State X. However, notwithstanding the allocation of the funds between the taxing jurisdictions, C's liability for the $500 retains its character as a liability for State X tax. Therefore, any interest, additions to tax, or assessable penalties imposed with respect to the State X tax shall be imposed with respect to C's full $500 liability for such tax, notwithstanding the fact that amounts collected with respect to

such items shall be allocated ⅘ to the Federal Government.

Example (5). A criminal charge is brought against D pursuant to chapter 75, alleging that he willfully evaded the payment of Federal income tax by failing to report interest income derived from obligations of the United States. D enters a plea of *non contendere* to the charge and pays $2,500 as a fine to the Federal Government. The act alleged in the criminal charge would not support the bringing of a criminal charge under a State law corresponding to chapter 75, or to title 18 of the United States Code, with respect to the qualified tax of any State; accordingly, the United States is the only affected jurisdiction, and no remittance shall be made to any State with respect to the amount collected by the Federal Government as a fine.

Example (6). A criminal charge is brought against E pursuant to chapter 75, alleging that he willfully attempted to evade the assessment of liability for both Federal income tax and the qualified tax of State X by filing false and fraudulent income tax returns. E's case is settled upon the condition that he pay a fine in the amount of $5,000. As determined pursuant to subparagraph (2) of this paragraph, E's liabilities for the taxable year are in the amounts of $7,200 to the Federal Government and $800 to State X. Accordingly, after the Federal Government collects the fine, $500 ($5,000 × $800/$8,000) is remitted to State X.

Example (7). Assume the same facts as in example (6), except that E is tried and convicted on both charges, and pursuant to court decree he pays to the United States a fine of $6,000 with respect to each charge, or a total of $12,000. Because a criminal charge was brought with respect to each affected jurisdiction, and the allocation of the total amount paid as a fine was specifically imposed by a court decree, the direction of the Court shall govern the allocation. Accordingly, after the Federal Government collects the fines it pays over $6,000 to the account of State X.

§ 301.6361–2 Judicial and administrative proceedings; Federal representation of State interests.

(a) *Civil proceedings*—(1) *General rule.* Any person shall have the same right to bring or contest a civil action, and to obtain a review thereof, with respect to a qualified tax (including the current collection thereof) in the same court or courts which would be available to him, and pursuant to the same requirements and procedures to which he would be subject, under chapter 76 (relating to judicial proceedings), and under title 28 of the United States Code (relating to the judiciary and judicial procedure), if the tax were imposed by section 1 or chapter 24 of the Internal Revenue Code. For purposes of this section, the term "person" includes the Federal Government. Except as provided in subparagraph (2) of this paragraph, to the extent that the preceding sentence provides judicial procedures(including review procedures) with respect to any matter, such procedures shall replace civil judicial procedures under State law.

(2) *Exception.* The right or power of the courts of any State to pass on matters involving the constitution of such State is unaffected by any provision of this paragraph; however, the jurisdiction of a State court in such matters shall not extend beyond the issue of constitutionality. Thus, if in a case involving the validity of a qualified tax statute under the State constitution, the State court holds such statute constitutional, such court shall not proceed to decide the amount of the tax liability.

(b) *Criminal proceedings.* Only the Federal Government shall have the right to bring a criminal action with respect to a qualified tax (including the current collection thereof). Such an action shall be brought in the same court or courts which would be available to the Federal Government, and pursuant to the same requirements and procedures to which the Federal Government would be subject, if the tax were imposed by section 1 or chapter 24 of the Internal Revenue Code.

(c) *Administrative proceedings.* Any person shall have the same rights in administrative proceedings of the Internal Revenue Service with respect to a qualified tax (including the current collection thereof) which would be available to him, and shall be subject to the same administrative requirements and procedures to which he would be subject, if the tax were imposed by section 1 or chapter 24 of the Internal Revenue Code.

(d) *United States representation of State interests*—(1) *General rule.* Except as provided in subparagraphs (2) and (3) of this paragraph, the Federal Government shall appear on behalf of any State the qualified tax of which it collects (or did collect for the year in issue), and shall represent such State's interests in any administrative or judicial proceeding, either civil or criminal in nature, which relates to the administration and collection of such qualified tax, in the same manner as it represents the interests of the United States in corresponding proceedings involving Federal income tax matters.

(2) *Exceptions.* The Federal Government shall not so represent a State's interests either—

(i) In proceedings in a State court involving the constitution of such State, to the extent of such constitutional issue, or

(ii) In proceedings in any court involving the relationship between the United States and the State, to the extent of the issue pertaining to such relationship, if either:

(A) The proceeding is one which is initiated by the United States against the State, or by the State against the United States, and no individual (except in his official capacity as a governmental official) is an original party to the proceeding, or

(B) The proceeding is not one described in (A), but the State elects to represent its own interests to the extent permissible under this subdivision.

(3) *Finality of Federal administrative determinations.* State and local government officials and employees may not review Federal administrative determinations concerning tax liabilities of, refunds owed to, or criminal prosecutions of, individuals with respect to qualified taxes. See, however, § 301.6363–3 relating to State administration of a qualified tax with respect to transition years. If requested by an electing State, the Commisioner or his delegate may, under terms and conditions set forth in an agreement with such State, permit such State to carry on operations supplementary to the Federal administration of the State's qualified tax (including supplemental audits or examinatoins of tax returns by State audit personnel), but all administrative determinations shall be made by the Federal Government without review by the State. An agreement which permits supplemental audits or examinations of tax returns by State audit personnel shall provide that the audits and examinations shall be conducted under the supervision and control of the Commissioner or his delegate, who shall have the authority to determine which returns shall be audited and when the audits shall occur. Also, such agreements shall provide that the results of any such supplemental audit shall be referred to the Commissioner or his delegate for final administrative determination. The Commissioner or his delegate shall, to the extent permitted by law, allow an electing State reasonable access to tax returns and other appropriate records and information relating to its qualified tax for the purpose of conducting any such supplemental operations. In addition, the Secretary or his delegate shall permit an electing State to inspect the workpapers which are compiled in the course of verification by the Treasury Department of the correctness of the accounting by which the amounts of the actual net collections attributable to the electing State's qualified taxes are determined.

§ 301.6361–3 Transfers to States.

(a) *Periodic transfers.* In general, amounts collected by the Federal Government which are allocable to qualified taxes (including criminal fines which are required to be paid to a State, as determined under paragraph (f)(3) of § 301.6361–1) shall be promptly transferred to each State imposing such a tax. Transfers of such amounts, based on percentages of estimated Federal collections, shall be made not less frequently than every third business day unless the State agrees to accept transfers at less frequent intervals.

(b) *Determination of amounts of transfers.* The amounts allocable to the qualified taxes of each State for purposes of periodic transfer shall be determined as a percentage of the estimated aggregate net individual income tax collections made by the Federal Government. For purposes of this paragraph, the "aggregate net individual income tax collections" shall include amounts collected on account of the Federal individual income tax and all qualified taxes by all means (including withholding, tax returns, and declarations of estimated tax), and shall be reduced to the extent of any liability to taxpayers for credits or refunds by reason of overpayments of such taxes. The percentage of the estimated amount of such collections which is allocated to each State shall be based on an estimate which is to be made

by the Office of Tax Analysis prior to the beginning of each calendar year as to what portion of the estimated aggregate net individual income tax collections for the forthcoming year will be attributable to the qualified taxes of that State. Each State will be notified prior to the beginning of each calendar year of the amount which it is estimated that the State will receive by application of that percentage for the year. However, the Office of Tax Analysis shall, from time to time throughout the calendar year, revise the percentage estimates when such a revision is, in the opinion of that office, necessary to conform such estimates to the actual receipts. When such a revision is made, the payments to the State will be adjusted accordingly.

(c) *Adjustment of difference between actual collections and periodic transfers.* At least once annually the Secretary or his delegate shall determine the difference between the aggregate amount of the actual net collections made (taking into acount credits, refunds, and amounts received by withholding with respect to which a tax return is not filed) which is attributable to each State's qualified taxes during the preceding year and the aggregate amount actually transferred to such State based on estimates during such year. The amount of such difference, as so determined, shall be a charge against, or an addition to, the amounts otherwise determined to be payable to the State.

(d) *Recipient of transferred funds.* All funds transferred pursuant to section 6361(c) and paragraph (a) of this section shall be transferred by the Federal Government to the State official designated by the Governor to receive such funds in the State agreement pursuant to paragraph (d)(5) of § 301.6363–1, unless the Governor notifies the Secretary or his delegate in writing of the designation of a different State official to receive the funds.

§ 301.6361–4 Definitions.

For purposes of the regulations in this part under subchapter E of chapter 64 of the Internal Revenue Code of 1954, relating to collection and administration of State individual income taxes—

(a) *State agreement.* The term "State agreement" means an agreement between a State and the Federal Government which was entered into pursuant to section 6363 and the regulations thereunder, and which provides for the Federal collection and administration of the qualified tax or taxes of that State.

(b) *Qualified tax.* The term "qualified tax" means a tax which is a "qualified State individual income tax," as defined in section 6362 (including subsection (f)(1) thereof, which requires that a State agreement be in effect) and the regulations thereunder.

(c) *Chapters and subtitles.* References in regulations in this part under subchapter E to chapters and subtitles are to chapters and subtitles of the Internal Revenue Code of 1954, unless otherwise indicated.

(d) *Subchapter E.* The term subchapter E" means subchapter E of chapter 64 of the Internal Revenue Code of 1954, relating to collection and administration of State individual income taxes, as amended from time to time.

§ 301.6361–5 Effective date of section 6361.

Section 6361 shall take effect on the first January 1 which is more than 1 year after the first date on which at least one State has filed a notice of election with the Secretary or his delegate to enter into a State agreement. For purposes of this section, a notice of election shall be deemed to have been filed by a State only if there is no defect in either the State's notice of election or the State's tax law of which the Secretary notified the Governor pursuant to paragraph (c) of § 301.6363–1, and which has not been retroactively cured under the provisions of such paragraph.

§ 301.6362–1 Types of qualified tax.

(a) *In general.* A qualified tax may be either a "qualified resident tax" within the meaning of paragraph (b) of this section, or a "qualified nonresident tax" within the meaning of paragraph (c) of this section.

(b) *Qualified resident tax.* A tax imposed by a State on the income of individuals, estates, and trusts which are residents of such State within the meaning of section 6362(e) and § 301.6362–6 shall be a "qualified resident tax" if it is either:

(1) A tax based on Federal taxable income which meets the requirements of section 6362 (b), (e), and (f), and of §§ 301.6362–2, 301.6362–6, and 301.6362–7; or

(2) A tax which is a percentage of the Federal tax and which meets the requirements of section 6362 (c), (e), and (f), and of §§ 301.6362–3, 301.6362–6, and 301.6362–7.

(c) *Qualified nonresident tax.* A tax imposed by a State on the wage and other business income of individuals who are not residents of such State within the meaning of section 6362(e)(1) and paragraph (b) of § 301.6362–6 shall be a "qualified nonresident tax" if it meets the requirements of section 6362 (d), (e), and (f), and of §§ 301.6362–5, 301.6362–6, and 301.6362–7.

§ 301.6362–2 Qualified resident tax based on taxable income.

(a) *In general.* A tax meets the requirements of section 6362(b) and this section only if it is imposed on the amount of the taxable income, as defined in section 63, of the individual, estate, or trust, adjusted—

(1) By subtracting an amount equal to the amount of the taxpayer's interest on obligations of the United States which was included in his gross income for the taxable year;

(2) By adding an amount equal to the amount of the taxpayer's net State income tax deduction, as defined in paragraph (a) of § 301.6362–4, for the taxable year;

(3) By adding an amount equal to the amount of the taxpayer's net tax-exempt income, as defined in paragraph (b) of § 301.6362–4, for the taxable year; and

(4) If a credit is allowed against the tax in accordance with paragraph (b)(3) of this section for sales tax imposed by the State or a political subdivision thereof, by adding an amount equal to the amount of the taxpayer"s deduction under section 164(a)(4) for such sales tax.

The tax may provide for either a single rate of multiple rates which vary with the amount of taxable income, as adjusted.

(b) *Permitted adjustments.* A tax which otherwise meets the requirements of paragraph (a) of this section shall not be deemed to fail to meet such requirements solely because it provides for one or more of the following adjustments:

(1) A credit meeting the requirements of paragraph (c) of § 301.6362–4 is allowed against the tax for the taxpayer's income tax liability to another State or a political subdivision thereof.

(2) A tax is imposed on the amount taxed under section 56 (relating to the minimum tax for tax preferences).

(3) A credit is allowed against the tax for all or a portion of any general sales tax imposed by the State or a political subdivision thereof with respect to sales either to the taxpayer or to one or more of his dependents.

(c) *Method of making mandatory adjustments.* The mandatory adjustments provided in paragraph (a) of this section shall be made directly to taxable income. Except as provided in paragraph (c)(2) of § 301.6362–4, no account shall be taken of any reduction or increase in the Federal adjusted gross income which would result from the exclusion from, or inclusion in, gross income of the items which are the subject of the adjustments. Thus, for example, when for purposes of the calculation the taxpayer's Federal taxable income is adjusted to reflect the exclusion from gross income of interest on obligations of the United States, no change shall be made in the amount of the taxpayer's deduction for medical expenses, or in the amount of his charitable contribution base, even though such amounts would ordinarily depend upon the amount of adjusted gross income.

§ 301.6362–3 Qualified resident tax which is a percentage of Federal tax.

(a) *In general.* A tax meets the requirements of section 6362(c) and this section only if:

(1) The tax is imposed as a single specified percentage of the excess of the taxes imposed by chapter 1 over the sum of the credits allowable under part IV of subchapter A of chapter 1 (other than the credits allowable under sections 31 and 39), and

(2) The amount of the tax is decreased by the amount of the decrease in such liability which would result from excluding from the taxpayer's gross income an amount equal to the amount of interest on obligations of the United States which

was included in his gross income for the taxable year.

(b) *Permitted adjustments.* A tax which otherwise meets the requirements of paragraph (a) of this section shall not be deemed to fail to meet such requirements solely because it provides for one or more of the following three adjustments:

(1) The amount of a taxpayer's liability for tax is increased by the amount of the increase in such liability which would result from including in such taxpayer's gross income all of the following:

(i) An amount equal to the amount of his net State income tax deduction, as defined in paragraph (a) of § 301.6362–4, for the taxable year;

(ii) An amount equal to the amount of his net tax-exempt income, as defined in paragraph (b) of § 301.6362–4, for the taxable year, and

(iii) If a credit is allowed against the tax under paragraph (b)(3) of this section for sales tax imposed by the State or a political subdivision thereof, an amount equal to the amount of his deduction under section 164(a)(4) for such sales tax.

(2) A credit meeting the requirements of paragraph (c) of § 301.6362–4 is allowed against the tax for the income tax of another State or a political subdivision thereof.

(3) A credit is allowed against the tax for all or a portion of any general sales tax imposed by the State or a political subdivision thereof with respect to sales either to the taxpayer or to one or more of his dependents.

(c) *Method of making adjustments.* Except as specifically provided in paragraphs (a)(2) and (b)(1) of this section, and in paragraph (c)(2) of § 301.6362–4, no account shall be taken of any reduction or increase in the Federal adjusted gross income which would result from the exclusion from, or inclusion in, gross income of the items which are the subject of the adjustments provided in those paragraphs. Thus, for example, when for purposes of the calculation the taxpayer's Federal income tax liability is adjusted to reflect the exclusion from gross income of interest on obligations of the United States, no change shall be made in the amount of the taxpayer's deduction for medical expenses, or in the amount of his charitable contribution base, even though such amounts would ordinarily depend upon the amount of adjusted gross income. Also, when calculating the adjusted Federal tax liability to which the rate of the State tax is to be applied, no adjustment shall be made in the amount of any credit against Federal tax to which a taxpayer is entitled.

§ 301.6362–4 Rules for adjustments relating to qualified resident taxes.

(a) *Net State income tax deduction.* For purposes of section 6362 (b)(1)(B) and (c)(3)(B), and §§ 301.6362–2 and 301.6362–3, the "net State income tax deduction" shall be the excess (if any) of (1) the amount deducted from income under section 164(a)(3) as taxes paid to a State or to a political subdivision thereof, over (2) the amounts included in income as recoveries of prior income taxes which were paid to a State or to a political subdivision thereof and which had been deducted under section 164 (a)(3).

(b) *Net tax-exempt income.* For purposes of section 6362 (b)(1)(C) and (c)(3)(A) and §§ 301.6362–2 and 301.6362–3, the "net tax-exempt income" shall be the excess (if any) of:

(1) The sum of (i) the interest on obligations described in section 103 (a)(1) other than obligations of the State imposing the tax and the political subdivisions thereof, and (ii) the interest on obligations described in such section of such State and the political subdivisions thereof which under the law of the State is subject to the tax; over

(2) The sum of (i) the amount of deductions allocable to the interest described in subparagraph (1) (i) or (ii) of this paragraph which is disallowed pursuant to section 265 and the regulations thereunder, and (ii) the amount of the adjustment to basis allocable to such obligations which is required to be made for the taxable year under section 1016 (a) (5) or (6).

For purposes of subparagraphs (1)(ii) of this paragraph, a State may, at its option, subject to the tax the interest from all, none, or some of its section 103(a)(1) obligations and those of its political subdivisions. For example, a State may subject to tax all of such obligations other than those which it or its political subdivisions issued prior to a specified date, which may be the date that subchapter E becomes applicable to the State.

(c) *Credits for taxes of other jurisdictions*—(1) *In general.* A State tax law that provides for a credit, pursuant to section 6362(b)(2)(B) or (C) or section 6362(c)(4), and paragraph (b)(1) of § 301.6362–2 or paragraph (b)(2) of § 301.6362–3, for income tax of another State or a political subdivision thereof shall provide that, in the case of each taxpayer, the amount of the credit shall equal the amount of his liability with respect to such other jurisdiction's tax for the taxable year which runs concurrently with, or which ends in, the taxable year used by the taxpayer for purposes of the State tax which provides for the credit. Such a credit may be allowed with respect to every income tax (whether or not qualified) imposed on the taxpayer by another State or a political subdivision thereof, or only with respect to certain of such taxes. However, for purposes of this paragraph, the amount which is treated as being the amount of the taxpayer's liability with respect to any such tax imposed by another jurisdiction shall not exceed the amount of liability for such tax which is both—

(A) Reported to the taxing authorities responsible for collecting such other jurisdiction's tax, and

(B) Substantiated pursuant to the requirements of paragraph (c)(1)(ii) of § 301.6361–1.

(2) *Limitation.* The amount of any credit allowed for the taxable year pursuant to this paragraph shall not exceed the product of the amount of the resident tax against which the credit is allowed, as computed without subtracting any such credit, multiplied by a fraction the numerator of which is the amount of income subject to tax by both the State imposing the resident tax aginst which the credit is allowed and the other jurisdiction whose tax is being credited, and the denominator of which is the amount of income subject to tax by the State imposing the resident tax against which the credit is allowed. For purposes of the preceding sentence, "income subject to tax" means the amount of the taxpayer's adjusted gross income which is taken into account for purposes of computing tax liability; in the case of a qualified resident tax, an appropriate modification shall be made to take into account any adjustments which are made pursuant to paragraph (a)(1) and (3) of § 301.6362–2, or pursuant to paragraph (a)(2) or (b)(1)(ii) of § 301.6362–3.

(3) *Examples.* The application of this paragraph may be illustrated by the following examples:

Example (1). (i) A, a calendar-year, cash-basis taxpayer, is a resident of State X throughout the taxable year. For such year, his adjusted gross income for Federal income tax purposes consists of $24,000, consisting of $3,000 derived from employment in State X, $5,000 derived from employment in State Y, $15,000 derived from employment in State Z, and $1,000 in interest income from United States savings bonds. In addition, he received net tax-exempt income in the amount of $2,000. For the taxable year, he incurs liabilities of $200 for the State Y nonresident income tax, and $1,400 for the State Z nonresident income tax. State X, which has in effect a State agreement for the taxable year, imposes a resident tax against which credits are allowed for the nonresident taxes imposed by States Y and Z. Without taking any such credits into account, however, the amount of A's liability for such resident tax would be $1,500. A properly reports his nonresident income tax liabilities to States Y and Z at the same time that he files his return with respect to the State X tax, and he substantiates on such return his liabilities to States Y and Z.

(ii) The amount of A's income subject to tax in State X is $25,000 (his adjusted gross income of $24,000, minus the United States savings bond income of $1,000, plus the net tax-exempt income of $2,000). The amount of the credit allowable against the State X resident tax for the amount of A's liability with respect to the State Y nonresident tax is calculated as follows: The maximum amount of credit is the actual amount of his liability to Y, or $200. Under subparagraph (2) of this paragraph, the amount of the credit is limited to $300 ($1,500 x $5,000/$25,000). Thus, such limit has no effect, and the full $200 is allowable as a credit against A's liability for the resident tax of State X. The amount of the credit allowable against the State X resident tax for the amount of A's liability with respect to the State Z nonresident tax is calculated as follows: The maximum amount of the credit is the actual amount of his liability to Z, or $1,400. Under subparagraph (2) of this paragraph, the amount of the credit is limited to $900 ($1,500 x $15,000/$25,000). Thus, such limit has the effect of reducing to $900 the amount

of the credit allowable for tax of State Z against A's liability for the resident tax of State X.

Example (2). (i) B, a calendar-year, cash-basis taxpayer, is a resident of State X employed in State Y through March 14, 1977. On March 15, 1977, B becomes a resident of State Z and remains a resident of such State through the remainder of 1977. For 1977, the amount of B's adjusted gross income for Federal income tax purposes is $20,000, consisting of $6,000 derived from employment in State Y which B held during the period of his residence in State X, $12,000 derived from employment in State Z which B held during the period of his residence in State Z, and $2,000 in interest income from various bank accounts. During 1977, B has no interest income from United States obligations, and no tax-exempt income. For 1977, B incurs a liability of $200 to State Y on account of its nonresident income tax imposed with respect to his $6,000 of income derived from sources within that State. State Z, which has in effect a State agreement for 1977, imposes a resident income tax on B which, if B had been a resident of State Z for all 1977, would amount to $1,200 prior to the allowance of any credits under this paragraph. However, by reason or paragraph (e)(1) of § 301.6362–6, B's liability for the resident tax of State Z, before taking into account credits allowed under this paragraph, is reduced to $960 ($1,200 x 292/365, or 4/5). Furthermore, State Z allows a credit for the nonresident tax imposed by State Y.

(ii) The amount of the credit allowable against the State Z resident tax for the amount of B's liability with respect to the State Y nonresident tax is calculated as follows: The maximum amount of the credit is the amount of his actual liability to State Y, or $200. Under subparagraph (2) of this paragraph, the amount of the credit is limited to $288 ($960 x $6,000/$20,000). Thus, such limit has no effect, and the full $200 is allowable as a credit for tax of State Y against B's liability for the resident tax of State Z.

§ 301.6362–5 Qualified nonresident tax.

(a) *In general.* A tax meets the requirements of section 6362(d) and this section only if:

(1) The tax is imposed by a State which simultaneously imposes a resident tax meeting the requirements of section 6362(b) and § 301.6362–2 or of section 6362(c) and § 301.6362–3;

(2) The tax is required to be computed in accordance with either the method prescribed in paragraph (b) of this section or another method of which the Secretary or his delegate approves upon submission by the State of the laws pertaining to the tax;

(3) The tax is imposed only on the wage and other business income derived from sources within such State (as defined in paragraph (d) of this section), of all individuals each of whom derives 25 percent or more of his aggregate wage and other business income for the taxable year from sources within such State while he is neither (i) a resident of such State within the meaning of section 6362(e) and § 301.6362–6, nor (ii) exempt from liability for the tax by reason of a reciprocal agreement between such State and the State of which he is a resident within the meaning of those provisions;

(4) The amount of the tax imposed with respect to any individual does not exceed the amount of tax for which such individual would be liable under the qualified resident tax imposed by such State if he were a resident of the State for the period during which he earned wage or other business income from sources within the State, and if his taxable income for such period were an amount equal to the sum of the zero bracket amount (within the meaning of section 63(d) and determined as if he had been a resident of the State for such period) and the excess of:

(i) The amount of his wage and other business income derived from sources within the State, over

(ii) That portion of the sum of the zero bracket amount and the nonbusiness deductions (*i.e.*, all deductions from adjusted gross income allowable in computing taxable income) taken into account for purposes of the State's qualified resident tax which bears the same ratio to such sum as the amount described in subdivision (i) of this subparagraph bears to his total adjusted gross income for the year; and

(5) For purposes of the tax, wage or other business income is considered as being the income of the individual whose income it is for purposes of section 61.

(b) *Approved method of computing liability for qualified nonresident tax.* A tax satisfies the requirement of paragraph (a)(2) of this section if the amount of the tax is computed either as a percentage of the excess of the amount described in paragraph (a)(4)(i) of this section over the amount described in paragraph (a)(4)(ii) of this section, or by application of progressive rates to such excess.

(c) *Definition of wage and other business income.* For purposes of section 6362(d) and this section, the term "wage and other business income" means the following types of income:

(1) Wages, as defined in section 3401 (a) and the regulations thereunder, but for these purposes:

(i) The amount of wages shall exclude amounts which are treated as wages under section 3402 (o) or (p) (relating to supplemental unemployment compensation benefits, annuity payments, and voluntary withholding agreements), and amounts which are treated as disability payments to the extent that they are excluded from gross income for Federal income tax purposes, pursuant to section 105(d), and

(ii) The amount of wages shall be reduced by those expenses which are directly related to the earning of such wages and with respect to which deductions are properly claimed from gross income in computing adjusted gross income;

(2) Net earnings from self-employment, as defined in section 1402 (a); and

(3) The distributive share of income of any trade or business carried on by a trust, estate, or electing small business corporation (as defined in section 1371 (a) and the regulations thereunder), to the extent that such share:

(i) Is includible in the gross income of the taxpayer for the taxable year, and

(ii) Would constitute net earnings from self-employment if the trade or business were carried on by a partnership.

For purposes of this subparagraph, "distributive share" includes the income of a trust or estate which is taxable to the taxpayer as a beneficiary under applicable Federal income tax rules, and the undistributed taxable income of an electing small business corporation which is taxable to the taxpayer as a shareholder under section 1373.

(d) *Income derived from sources within a State.*—(1) *Income attributable primarily to services.* Except as otherwise provided by Federal statute (see paragraphs (h), (i), and (j) of § 301.6362–7), wage income and other business income (net earnings from self-employment or distributive shares) which is attributable more to services performed by the taxpayer than to a capital investment of the taxpayer shall be considered to have been derived from sources within a State only if the services of the taxpayer which gives rise to the income are performed in such State. If for a taxable year only a portion of the taxpayer's services giving rise to the income from one employment, trade, or business is performed within a State, then it shall be presumed that the amount of income from such employment, trade, or business which is derived from sources within that State equals that portion of the total income derived from such employment, trade, or business for the year which the amount of time spent by the taxpayer for such year performing services with respect to that employment, trade, or business in that State bears to the aggregate amount of time spent by the taxpayer for such year performing all of such services. However, the presumption stated in the preceding sentence may be rebutted in the event that the taxpayer proves, by use of detailed records, that the correct allocation of his income is otherwise.

(2) *Income attributable primarily to investment.* Except as otherwise provided by Federal statute (see paragraph (j) of § 301.6362–7), business income (net earnings from self-employment or distributive shares) which is attributable more to a capital investment of the taxpayer than to services performed by the taxpayer shall be considered to have been derived from sources within the State, if any, in which the significant activities of the trade or business are conducted. If for the taxable year only a portion of the significant activities conducted with respect to one trade or business is conducted within a certain State, then the portion of the taxpayer's total income for the year from such trade or business which is considered to be derived from sources within that State shall be computed as follows:

(i) *Allocation by records.* The portion of the taxpayer's total income from the trade or business which is considered to be derived from sources within the State shall be the portion which is allocable to such sources according to the records of the taxpayer or of the part-

nership, trust, estate, or electing small business corporation from which his income is derived, provided that the taxpayer establishes to the satisfaction of the district director, when requested to do so, that those records fairly and equitably reflect the income which is allocable to sources within the State. An allocation made pursuant to this subdivision shall be based on the location of the significant activities of the trade or business, and not on the location at which the taxpayer's personal services are performed.

(ii) *Allocation by formula.* If the taxpayer (or the trade or business) does not keep records meeting the requirements of subdivision (i) of this subparagraph, or if the taxpayer fails to meet the burden of proof set forth therein, then the amount of the taxpayer's income from the trade or business which is considered to be derived from sources within the State shall be determined by multiplying the total of his income (as defined in paragraphs (c) (2) and (3) of this section) from the trade or business for the taxable year by the percentage which is the average of these three percentages:

(A) *Property percentage.* The percentage computed by dividing the average of the value, at the beginning and end of the taxable year, of real and tangible personal property connected with the taxpayer's trade or business and located within the State, by the average of the value, at the beginning and end of the taxable year, of all such property located both within and without the State. For this purpose, real property shall include real property rented to the taxpayer in connection with the trade or business, or rented to the trade or business.

(B) *Payroll percentage.* The percentage computed by dividing the total wages, salaries, and other compensation for personal services which is paid or incurred during the taxable year to employees in connection with the taxpayer's trade or business, and which would be treated as derived by such employees from sources within the State pursuant to subparagraph (1) of this paragraph, by the total of all such wages, salaries, and other compensation for personal services which is so paid or incurred without regard to whether such payments would be treated as derived by the employees from sources within the State. For purposes of this subdivision (ii), no amount paid as deferred compensation pursuant to a retirement plan to a former employee shall be taken into consideration.

(C) *Gross income percentage.* The percentage computed by dividing the gross sales or charges for services performed by or through an agency located within the State by the total of all gross sales or charges for services performed both within and without the State. The sales or charges to be allocated to the State shall include all sales which are negotiated, and charges which are for services performed, by an employee, agent, agency, or independent contractor chiefly situated at, or working principally out of an office located within, the State.

(3) *Income attributable to real estate investment.* Notwithstanding subparagraph (2) of this paragraph, income and deductions from the rental of real property, and gain and loss from the sale, exchange, or other disposition of real property, shall not be subject to allocation under subparagraph (2), but shall be considered as entirely derived from sources located within the State in which such property is located.

(4) *Treatment of losses.* A loss attributable to the taxpayer's employment, or to his conduct of, participation in, or investment in a trade or business, shall be allocated in the same manner as the income attributable to such employment or trade or business would be allocated pursuant to this paragraph.

(5) *Examples.* The application of this paragraph may be illustrated by the following examples:

Example (1). A, an employee who earns $10,000 in wage income attributable to services, and who has no other wage or other business income, spends 60 percent of his working time performing services for his employer in State X, 30 percent in State Y, and 10 percent in State Z. In the absence of the requisite proof to the contrary, A's wage income is considered to have been derived 60 percent from sources located within State X, 30 percent within State Y, and 10 percent within State Z. Assuming that A is a nonresident with respect to all three States, and that they all impose qualified nonresident taxes, then the qualified nonresident tax of State X is imposed on $6,000, the qualified nonresident tax of State Y is imposed on $3,000, and the qualified nonresident tax of State Z is not imposed on any of the income because A did not derive at least 25 percent of his wage and other business income from sources located within State Z.

Example (2). B, who earns no wage income but who has a total of $10,000 of other business income for the taxable year, all of which is net income from self-employment attributable primarily to services, spends 45 percent of his working time performing services in State X, 30 percent in State Y, and 25 percent in State Z. However, the rates that B is able to charge for his services and the business expenses which he incurs vary in the different States, and he is able to prove by detailed records that his net income from self-employment was in fact derived 50 percent from sources located within State X, 35 percent from sources located within State Y, and 15 percent from sources located within State Z. Assuming that B is a nonresident with respect to all three States, and that they all impose qualified nonresident taxes, then the qualified nonresident tax of State X is imposed on $5,000, the qualified nonresident tax of State Y is imposed on $3,500, and the qualified nonresident tax of State Z is not imposed on any of the income because B did not derive at least 25 percent of his wage and other business income from sources located within State Z.

Example (3). C is a partner in a profitable business concern, in which he has a substantial capital investment. His net earnings from self-employment attributable to his partnership interest are $75,000 for the taxable year. The fair market value of the services which C performs for the partnership during the taxable year is $30,000. C's income is therefore attributable primarily to his capital investment. The partnership business is carried on partially within and partially without State X. Neither C nor the partnership maintains records from which the portion of C's $75,000 income which is considered to be derived from sources within State X can be satisfactorily proven. As determined under subparagraph (2) of this paragraph, the partnership's "property percentage" in State X is 70, its "payroll percentage" therein is 60, and its "gross income percentage" therein is 56. The amount of C's partnership income considered to be derived from sources within State X is $46,500 ($75,000×62 percent). This result would obtain even if C's services for the partnership are performed entirely within State X.

Example (4). Assume the same facts as in (3), except that the records of the partnership of which C is a member indicate that the net profits of the partnership are derived 40 percent from business activities conducted in State X, and 60 percent from business activities conducted in State Y. C is requested to prove that those records fairly and equitably reflect the income which is allocable to sources within State X. The documentary evidence which he adduces in support of the allocation made by the records shows how such allocation results from a careful step-by-step tracing of the profitability of each phase and aspect of the partnership's operations, and shows the State in which each such phase and aspect of the operations is conducted. C's proof is satisfactory to show the percentage allocation, and the amount of his partnership income considered to be derived from sources within State X is $30,000, or $75,000 multiplied by 40 percent. This result would obtain even if B's services for the partnership are performed entirely within State X.

§ 301.6362–6 Requirements relating to residence.

(a) *In general.* A tax imposed by a State meets the requirements of section 6362(e) and this section if in effect it provides that:

(1) The State of residence of an individual, estate, or trust is determined according to paragraphs (1), (2), or (3), respectively, of section 6362(e), and according to paragraphs (b), (c), or (d), respectively, of this section.

(2) The liability for a resident tax imposed by such State upon an individual or trust which changes residence to another State in the taxable year is determined according to section 6362 (e) (4) and paragraph (e) of this section.

(3) The rules relating to current collection of tax apply as provided in section 6362(e)(5) and paragraph (f) of this section.

(b) *Residence of an individual.*—(1) *In general.* Except as otherwise provided in subparagraph (5) of this paragraph, an individual is treated as a resident of a State with respect to a taxable year only if:

(i) His principal place of residence (as defined in subparagraph (2) of this paragraph) is within such State for a period of at least 135 consecutive days, at least 30 days of which are in such taxable year; or

(ii) In the case of a citizen or resident of the United States who is not a resident of any State (determined as provided in subdivision (i) of this subparagraph) with respect to such taxable year, his domicile (as defined in subparagraph (3) of this paragraph) is in such State for at least 30 days during such taxable year.

With respect to an individual who is a resident (determined as provided in sub-

division (i) of this subparagraph) of more than one State during a taxable year, see paragraph (e) of this section.

(2) *Principal place of residence*—(i) *Definition.*—For purposes of subparagraph (1)(i) of this paragraph and and paragraph (d)(4) of this section, the term "principal place of residence" shall mean the place which is an individual's primary home. An individual's temporary absence from his primary home shall not affect a change with respect thereto. On the other hand, if an individual moves to another State, other than as a mere transient or sojourner, he shall be treated as having changed the location of his primary home.

(ii) *Examples.* The application of this subparagraph may be illustrated by the following examples:

Example (1). A has a city home and a country home. He resides in the city home for 7 months of the year and uses the address of that home as his legal residence for purposes of driver's license, automobile registration, and voter registration. He resides in the country home 5 months of the year. His city home is considered his principal place of residence.

Example (2). During the taxable year, B, a construction worker, is employed at several different locations in different States. The duration of each job on which he is employed ranges from a few weeks to several months, and he knows when he accepts a job what its approximate duration will be. He owns a house in State X which he uses as his legal residence for purposes of driver's license, automobile registration, and voter registration. In addition, his family lives there during the entire year, and B lives there during periods between jobs. However, the duration of the jobs and the distance between the job-sites and his house require him to live in the localities of the respective job-sites during the period of his employment, although occasionally he returns to his house in State X on weekends. B's house in State X is his principal place of residence during all of the taxable year.

Example (3). C, a dependent of his parents who are residents of State X, is a full-time student in a 4-year degree program at a college in State Y. During the 9-month academic year, C lives on the college campus, but he returns to his parents' home in State X for the summer recess. C gives State Y as his residence for purposes of his driver's license and voter registration, but lists the address of his parents' home in State X as his "permanent address" on the records of the college which he attends. Although C's domicile remains at his parents home in State X, his presence in State Y cannot be regarded as that of a mere transient or sojourner; accordingly, C's principal place of residence is in State Y for that portion of the taxable year during which he attends college.

Example (4). D loses his job in State X, where he lived and worked for many years. After a series of unsuccessful atempts to find other employment in State X, he accepts a job in State Y. D gives up his apartment in State X and moves to State Y upon commencing his new job; however, he intends to continue to explore available employment opportunities in State X so that he may return there as soon as any opportunity to do so arises. D changes his principal place of residence when he moves to State Y.

(3) *Domicile defined.* For purposes of subparagraph (1)(ii) of this paragraph and paragraph (d)(4) of this section, the term "domicile" shall mean an individual's fixed or permanent home. An individual acquires a domicile in a place by living there; even for a brief period of time, with no definite present intention of later removing therefrom. Residence without the requisite intention to remain indefinitely will not suffice to change domicile, nor will intention to change domicile effect such a change until accompanied by actual removal. A domicile, once acquired, is maintained until a new domicile is acquired.

(4) *Period of residence*—(i) *General rule.* An individual who becomes a resident of a State pursuant to subparagraph (1) of this paragraph, or who is at the beginning of a taxable year a resident of a State pursuant to such provision, shall be treated as continuing to be a resident of such State through the end of the taxable year, unless, prior thereto, such individual becomes a resident, under the principles of subparagraph (1), of another State or a possession or foreign country. In the event that the individual becomes a resident of such another jurisdiction prior to the end of the taxable year, his residence in such State shall be treated as ending on the day prior to the day on which he becomes a resident of such other jurisdiction pursuant to subparagraph (1).

(ii) *Examples.* The application of this subparagraph may be illustrated by the following examples:

Example (1). A, a calendar-year taxpayer, has his principal place of residence in State X from the beginning of 1976 through August 1, 1976, when he gives up permanently such principal place of residence. He spends the remainder of 1976 traveling outside of the United States, but does not become a resident of any other country. A is considered to be a resident of State X for the entire year 1976.

Example (2). Assume the same facts as in example (1), except that A ceases his traveling and establishes his principal place of residence in State Y on November 15, 1976. Assume, also, that A maintains that principal place of residence for more than 135 consecutive days. Under these circumstances, for his taxable year 1976, A is considered to be a resident of State X from January 1 through November 14, and a resident of State Y from November 15 through December 31.

(5) *Special rules.* (i) No provision of subchapter E or the regulations thereunder shall be construed to require or authorize the treatment of a Senator, Representative, Delegate, or Resident Commissioner as a resident of a State other than the State which he represents in Congress.

(ii) For special rules relating to members of the Armed Forces, see paragraph (h) of § 301.6362–7.

(6) *Examples.* The application of this paragraph may be illustrated by the following examples:

Example (1). A, a calendar-year taxpayer, maintains his principal place of residence in State X from December 1, 1976, through April 15, 1977. Assuming that A was not a resident of any other jurisdiction at any time during 1976, A is treated as a resident of State X for the entire year 1976. Such result would obtain even if A was absent from State X on vacation for some portion of December 1976. Moreover, such result would obtain even if it is assumed that A was a domiciliary of State Y from January 1, 1976, through April 15, 1977, because an individual's domicile does not determine his residence so long as residence in one State for the taxable year can be determined from the general rule stated in the first sentence of paragraph (b)(1) of this section.

Example (2). Assume the same facts as in example (1) (including the fact of A's domicile in State Y), except that A maintained his principal place of residence in State Z from September 15, 1975, through January 31, 1976, inclusive. With respect to the year 1976, A is treated as a resident of State Z from January 1 through November 30, and as a resident of State X from December 1 through December 31. A's liability for the qualified taxes of the respective States for 1976 shall be determined pursuant to the provisions in paragraph (e) of this section.

(c) *Residence of an estate.* An estate of an individual is treated as a resident of the last State of which such individual was a resident, as determined under the rules of paragraph (b) of this section, prior to his death. However, the estate of an individual who was not a resident of any State (as determined without regard to the 30-day requirement in paragraph (b)(1) of this section) immediately prior to his death, and who was not a resident of any State at any time during the 3-year period ending on the date of his death, is not treated as a resident of any State. For purposes of determining the decedent's last State of residence, the rules of paragraph (b) shall be applied irrespective of whether subchapter E was in effect at the time the period of 135 consecutive days of residence began, or whether the decedent's last State of residence is a State electing to enter into an agreement pursuant to subchapter E. The determination of the State of residence of an estate pursuant to this paragraph shall not be governed by any determination under State law as to which State is treated as the residence or domicile of the decedent for purposes other than its individual income tax (such as liability for State inheritance tax or jurisdiction of probate proceedings).

(d) *Residence of a trust*—(1) *In general.* (i) The State of residence of a trust shall be determined by reference to the circumstances of the individual who, by either an inter-vivos transfer or a testamentary transfer, is deemed to be the "principal contributor" to the trust under the provisions of subdivision (ii) of this subparagraph.

(ii) If only one individual has ever contributed assets to the trust, including the assets which were transferred to the trust at its inception, then such individual is the principal contributor to the trust. However, if on any day subsequent to the initial creation of the trust, such trust receives assets having a value greater than the aggregate value of all assets theretofore contributed to it, then the trust shall be deemed (for the limited purpose of determining the State of residence) to have been "created" anew, and the individual who on the day of such creation contributed more (in value) than any other individual contributed on that day shall become the prin-

cipal contributor to the trust. When a trust is created anew, all references in this paragraph to the creation of the trust shall be construed as referring to the most recent creation. For purposes of this paragraph, the value of any asset shall be its fair market value on the day that it was contributed to the trust; any subsequent appreciation or depreciation in the value of the asset shall be disregarded.

(2) *Testamentary trust.* A trust with respect to which a deceased individual is the principal contributor by reason of property passing on his death is treated as a resident of the last State of which such individual was a resident, as determined under the rules of paragraph (b) of this section, before his death. However, if such deceased individual was not a resident of any State (as determined without regard to the 30-day requirement in paragraph (b)(1) of this section) immediately prior to his death, and was not a resident of any State at any time during the 3-year period ending on the date of his death, then a testamentary trust of which he is the principal contributor by reason of property passing on his death is not treatd as a resident of any State. All property passing on the transferor's death is treated for this purpose as a contribution made to the trust on the date of death, regardless of when the property is actually paid over to the trust.

(3) *Nontestamentary trust.* A trust which is not a trust described in subparagraph (2) of this paragraph is treated as a resident of the State in which the principal contributor to the trust, during the 3-year period ending on the date of the creation of the trust, had his principal place of residence for an aggregate number of days longer than the aggregate number of days he had his principal place of residence in any other State. However, if the principal contributor to such a trust was not a resident of any State at any time during such 3-year period, then the trust is not treated as a resident of any State.

(4) *Special rules.* If the application of the provisions of the foregoing subparagraphs of this paragraph results in a determination of more than one State of residence for a trust, or does not provide a rule by which the residence or nonresidence of the trust can be determined, then the determination of the State of residence of such trust shall be made according to the rules of the applicable subdivision of this subparagraph.

(i) If, at the time of creation of the trust, 50 percent or more in value of the trust corpus consists of real property, then the trust shall be treated as a resident of the State in which more of the real property (in value) which was in the trust at such time was located than any other State.

(ii) If, at the time of creation of the trust, less than 50 percent in value of the trust corpus consists of real property, then the trust shall be treated as a resident of the State in which, at such time, the trustee, if any individual, had his principal place of residence, or, if a corporation, had its principal place of business. If there were two or more trustees, then the foregoing sentence shall be applied by reference to the principal places of residence, or of business, of the majority of trustees who had authority to make investment and other management decisions for the trust.

(iii) If, after application of the provisions of subdivisions (i) and (ii) of this subparagraph, the State of residence of the trust still cannot be ascertained, then the Commissioner of Internal Revenue shall determine the State of residence of such trust for purposes of qualified taxes. Such determination shall be made by reference to the number of significant contacts each State had with the trust at the time of its creation. Significant contacts shall include the principal place of residence of the principal contributor or contributors to the trust, the principal place of residence or business of the trustee (or trustees), the situs of the assets of which the trust corpus was composed, and the location from which management decisions emanated with respect to the business and investment interests of the trusts.

(5) *Examples.* The application of this paragraph may be illustrated by the following examples:

Example (1). A created a trust in 1950 by transferring to it certain stock in a corporation. At the time of such transfer, the stock had a fair market value of $1,000. A at all relevant times had his principal place of residence in State X, and accordingly the trust is treated as a resident of such State for qualified tax purposes. As of January 1, 1977, the stock originally contributed by A, which was at all times the only property in the trust, has a fair market value of $3,000. On such date, B, who has had his principal place of residence in State Y for more than 3 years, contributes to the trust property having a fair market value of $1,200. For purposes of determining the identity of the principal contributor to the trust and the State of residence of the trust, the stock contributed by A in 1950 continues to be valued for such purposes at $1,000. Thus, the trust is treated as being created anew on January 1, 1977, with B as the principal contributor, and with State Y as its State of residence.

Example (2). C has his principal place of residence in State X continuously for many years, until August 1, 1978 when he establishes his principal place of residence in State Y. The change of residence is intended to be permanent, and C has no further contact with State X after such change. On January 1, 1980, C creates a nontestamentary trust. During the 3-year period ending on such date C had his principal place of residence in State X for 576 days, and in State Y for 519 days. Therefore, the trust is treated as a resident of State X.

(e) *Liability for tax on change of residence during taxable year*—(1) *In general.* If, under the principles contained in paragraph (b) or (d) of this section, an individual or trust becomes a resident, or ceases to be a resident, of a State, and is also a resident of another jurisdiction outside of such State during the same taxable year, the liability of such individual or trust for the resident tax of such State shall be determined by multiplying the amount which would be his or its liability for tax (computed after allowing the nonrefundable credits (i.e., credits not corresponding to the credits referred to in section 6401 (b) available against the tax)) if he or it had been a resident of such State for the entire taxable year by a fraction, the numerator of which is the number of days he or it was a resident of such State during the taxable year, and the denominator of which is the total number of days in the taxable year. The preceding sentence shall not apply by reason of the fact that an individual is born or dies during the taxable year, or by reason of the fact that a trust comes into existence or ceases to exist during the taxable year.

(2) *Residence determined by domicile.* When an individual is treated as a resident of a State by reason of being domiciled in such State, pursuant to paragraph (b)(1)(ii) of this section, then the numerator of the fraction provided in subparagraph (1) of this paragraph shall be the number of days the individual was domiciled in the State during the taxable year.

(3) *Example.* The application of this paragraph may be illustrated by the following example:

Example. A, a calendar-year taxpayer, is a resident of State X continuously for many years prior to March 15, 1977. On such date, A retires and establishes a new principal place of residence in State Y. A earns $6,000 in 1977 prior to March 15, but receives no taxable income for the remainder of such year. If A had been a resident of State X for the entire taxable year 1977, his liability with respect to the qualified tax of such State (computed after allowing the nonrefundable credits available against the tax) would be $600. If he had been a resident of State Y for the entire taxable year 1977, his liability with respect to the qualified tax on that State (computed similarly) would be $400. Pursuant to the provisions in paragraph (e) of this section, A's liabilities for State qualified taxes for 1977 are as follows:

$$\underset{\text{State } X \text{ tax}}{\text{Liability for}} = \$600 \times \frac{73}{365} = \$120$$

$$\underset{\text{State } Y \text{ tax}}{\text{Liability for}} = \$400 \times \frac{292}{365} = \$320.$$

(f) *Current collection of tax.* The State tax laws shall contain provisions for methods of current collection with respect to individuals which correspond to the provisions of the Internal Revenue Code of 1954 with respect to such current collection, including chapter 24 (relating to the collection of income tax at source on wages) and sections 6015, 6073, 6153, and other provisions of the Code relating to declarations (and amendments thereto) and payments of estimated income tax. Except as otherwise provided by Federal statute (see paragraphs (h), (i), and (j) of § 301.6362–7), in applying such provisions of the State tax laws:

(1) In the case of a resident tax, an individual shall be subject to the current collection provisions if either—

(i) He is a resident of the State within the meaning of paragraph (b) of this section, or

(ii) He has his principal place of residence (as defined in paragraph (b) (2) of this section) within the State,

and it is reasonable to expect him to have it within the State for 30 days or more during the taxable year.

(2) In the case of a nonresdient tax, an individual shall be subject to the current collection provisions if he does not meet either description relating to an individual in subparagraph (1) of this paragraph, if he is not exempt from liability for the tax by reason of a reciprocal agreement between the State of which he is a resident and the State imposing the tax, and if it is reasonable to expect him to receive wage or other business income derived from sources within the State imposing the tax (as defined in paragraph (d) of § 301.6362–5) for services performed on 30 days or more of the taxable year.

For additional rules relating to withholding see paragraph (d) of § 301.-6361.1.

§ 301.6362–7 Additional requirements.

A State tax meets the additional requirements of section 6362(f) and this section only if:

(a) *State agreement must be in effect for period concerned.* A State agreement, as defined in paragraph (a) of § 301.-6361–4, is in effect with respect to such tax for the taxable period in question.

(b) *State laws must contain certain provisions.* Under the laws of such State, the provisions of subchapter E and the regulations thereunder, as in effect from time to time, are applicable for the entire period for which the State agreement is in effect. Any change made by the State in such tax (other than an adjustment in the State law which is made solely in order to comply with a change in the Federal law or regulations) shall not apply to taxable years beginning in any calendar year for which the State agreement is in effect unless the change is enacted before November 1 of such year.

(c) *State individual income tax laws can be only of certain kinds.* Such State does not impose any tax on the income of individuals other than (1) a qualified resident tax, and (2) either or both a qualified nonresident tax and a separate tax on income which is not wage and other business income (as defined in paragraph (c) of § 301.6362–5) and which is received or accrued by individuals who are domiciled in the State, but who are not residents of the State (as defined in paragraph (b) of § 301.6362–6). For purposes of this paragraph, a tax imposed on the amount taxed under section 56 (as permitted under § 301.6362–2 (b) (2)) shall be treated as an adjustment to and a part of the qualified resident tax. Also, tax laws which were in effect prior to the effective date of a State agreement and which are not repealed, but which are made inapplicable for the period during which the State agreement is in effect, shall be disregarded.

(d) *Taxable years must coincide.* The taxable years of all individuals, estates, and trusts under such tax are required to coincide with their taxable years used for purposes of the taxes imposed by chapter 1. Accordingly, when subchapter E begins to apply to a State, a taxpayer whose taxable year for purposes of the Federal income tax is different from his taxable year for purposes of the State income tax which precedes the qualified tax may have one short taxable year for purposes of such State income tax, so that thereafter his taxable years for purposes of the qualified tax will coincide with the Federal taxable year.

(e) *Married individuals.* Individuals who are married within the meaning of section 143 of the Code are prohibited from filing (1) a joint return for purposes of such State tax if they file separate Federal income tax returns, or (2) separate returns for purposes of such State tax if they file a joint Federal income tax return.

(f) *Penalties; no double jeopardy.* Under the laws of such State:

(1) Civil and criminal sanctions identical to those provided by subtitle F, and by title 18 of the United States Code (relating to crimes and criminal procedure), with respect to the taxes imposed on the income of individuals by chapter 1 and on the wages of individuals by chapter 24, apply to individuals and their employers who are subject to such State tax (and the collection and administration thereof, including the corresponding withholding tax imposed to implement the current collection of such State tax) as if such tax were imposed by chapter 1 (or chapter 24, in the case of the withholding tax), except to the extent that the application of such sanctions is modified by regulations issued under subchapter E; and

(2) No other sanctions or penalties apply with respect to any act or omission to act in respect of such State tax.

See also paragraph (e) of § 301.6361–1 with respect to criminal penalties.

(g) *Partnerships, trusts, subchapter S corporations, and other conduit entities.* Under the laws of such State, the State tax treatment of—

(1) Partnerships and partners,

(2) Trusts and their beneficiaries,

(3) Estate and their beneficiaries,

(4) Electing small business corporations (within the meaning of section 1371(a)) and their shareholders, and

(5) Any other entity and the individuals having beneficial interests therein (such as a cooperative corporation and its shareholders), to the extent that such entity is treated as a conduit for purposes of the taxes imposed by chapter 1, corresponds to the tax treatment provided therefor with respect to the taxes imposed by chapter 1. For example, a subchapter S corporation shall not be subject to the State's corporate income tax on amounts which are includible in shareholders' incomes which are subject to that State's individual income tax, except to the extent that the subchapter S corporation is subject to tax under Federal law. Similarly, a partnership shall not be subject to the State's unincorporated business income tax on amounts which are includible in partners' incomes which are subject to that State's individual income tax. However, the laws of the State which set forth the provisions of such State individual income tax shall authorize the Commissioner of Internal Revenue to require that the conduit entities described in this paragraph (or some of them) supply information to the Federal Government with respect to the source of income, the State of residence, or the amount of income of a particular type, of an individual, estate, or trust holding a beneficial interest in such conduit entity.

(h) *Members of armed forces.* The relief provided to any member of the Armed Forces by section 514 of the Soldiers' and Sailors' Civil Relief Act (50 U.S.C. App. sec. 574) is in no way diminished. Accordingly, for purposes of such State tax, an individual shall not be considered to have become a resident of a State solely because of his absence from his original State of residence under military order. Moreover, compensation for military service shall not be considered as income derived from a source within a State of which the individual earning such compensation is not a resident, within the meaning of paragraph (d) of § 301.6362–5. The preceding sentence shall not apply to nonmilitary compensation. Thus, for example, if an individual who is serving in State X as a member of the Armed Forces, and who is regarded as a resident of State Y under the Soldiers' and Sailors' Civil Relief Act, earns nonmilitary income in State X from a part-time job, such nonmilitary income may be subject to a qualified nonresident tax imposed by State X.

(i) *Withholding on compensation of employees of railroads, motor carriers, airlines, and water carriers.* There is no contravention of the provisions of section 26, 226A, or 324 of the Interstate Commerce Act, or of section 1112 of the Federal Aviation Act of 1958, with respect to the withholding of compensation to which such sections apply for purposes of the nonresident tax.

(j) *Income derived from interstate commerce.* There is no contravention of the provisions of the Act of September 14, 1959 (73 Stat. 555), with respect to the taxation of income derived from interstate commerce to which such statute applies.

§ 301.6363–1 State agreements.

(a) *Notice of election.* If a State elects to enter into a State agreement it shall file notice of such election with the Secretary or his delegate. The notice of election shall include the following:

(1) *Statement by the Governor.* A written statement by the Governor of the electing State:

(i) Requesting that the Secretary enter into a State agreement, and

(ii) Binding the Governor and his successors in office to notify the Secretary or his delegate immediately of the enactment, between the time of the filing of the notice of election and the time

of the execution of the State agreement, of any law of that State which meets the description given in any of the subdivisions of subparagraph (2) of this paragraph, whether or not such law is intended to be administered by the United States pursuant to subchapter E.

(2) *Copy of State laws.* Certified copies of all laws of that State described in any of the following subdivisions of this subparagraph, and a specification of laws described in subdivision (i) of this subparagraph as "subchapter E laws", of laws described in subdivision (ii) as "other tax laws", of laws described in subdivision (iii) as "non-tax laws", and of laws described in subdivision (iv) as "interstate cooperation laws":

(i) All of the State individual income tax laws (including laws relating to the collection or administration of such taxes or to the prosecution of alleged civil or criminal violations with respect to such taxes) which the State would expect the United States to administer pursuant to subchapter E if the State agreement is executed as requested. In order to have a valid notice, the State must have a tax which would meet the requirements for qualification specified in section 6362 and the regulations thereunder if a State agreement were in effect with respect thereto, with no conditions attached to the effectiveness of such tax other than the execution of a State agreement. Such tax must be effective no later than the January 1 specified in the State's notice of election as the date as of which subchapter E is desired to become applicable to the electing State, except that such effective date shall be deferred to the date provided in the State agreement for the beginning of applicability of subchapter E to the State, if the latter date is different from the date specified in the notice of election.

(ii) All of the State income tax laws applicable to individuals (including laws relating to the collection or administration of such taxes or to the prosecution of alleged civil or criminal violations with respect to such taxes) which the State would not expect the United States to administer but which may be in effect simultaneously (for any period of time) with the State agreement.

(iii) All of the State laws other than individual income tax laws which provide for the making of any payments by the State based on one or more criteria which the State may desire to verify by reference to information contained in returns of qualified taxes.

(iv) All of the State laws which may be in effect simultaneously (for any period of time) with the State agreement and which provide for cooperation or reciprocal agreement between the electing State and another State with respect to income taxes applicable to individuals.

(3) *Approval by legislature or authorization by constitutional amendment.* A certified copy of an Act or Resolution of the legislature of the electing State in which the legislature affirmatively expresses its approval of the State's entry into a State agreement, or a certified copy of an amendment to the constitution of such State by which the voters of the State affirmatively authorize such entry.

(4) *Opinion by State Attorney General or judgment of highest court.* A written statement by the State Attorney General to the effect that, in his opinion, no provision of the State's Constitution would be violated by the State law's incorporation by reference of the Federal individual income tax laws and regulations, as amended from time to time, by the Federal prosecution and trial of individuals who are alleged to have committed crimes with respect to the State's qualified tax (when it goes into effect as such), or by any other provision relating to such tax, considered as of the time it is being collected and administered by the Federal Government pursuant to subchapter E. However, if such a statement is not included in the notice of election, a judgment of the highest court of the State to the same effect may be submitted in its place.

(5) *Effective date.* A written specification of the January as of which subchapter E is desired to become applicable to the electing State.

(b) *Rules relating to time for filing notice of election.* An electing State must file its notice of election more than 6 months prior to the January 1 as of which the notice specifies that the provisions of subchapter E are desired to become applicable to such State. Thus, for example, if the date specified in the notice is January 1, 1979, the notice must be filed no later than June 30, 1978. However, because under the provisions of section 204(b) of the Federal-State Tax Collection Act of 1972 (86 Stat. 945), as amended by section 2116(a) of the Tax Reform Act of 1976 (90 Stat. 1910, the provisions of subchapter E will initially take effect on the first January 1 which is more than 1 year after the first date on which at least one State has filed a notice of its election (see § 301.6361–5), the notice of an election which causes subchapter E to initially take effect must be filed with the Secretary or his delegate more than 1 year prior to the January 1 as of which such notice specifies that the provisions of subchapter E are desired to become applicable to such State. Thus, for example, if such an initially electing State desires to elect subchapter E as of January 1, 1979, its notice must be filed no later than December 31, 1977. For purposes of this section, if the notice of election is sent by either registered or certified mail to the Secretary of the Treasury, Washington, D.C. 20220, then it shall be deemed to be filed on the date of mailing; otherwise, the notice of election shall be deemed to be filed when it is received by the Secretary or his delegate.

(c) *Procedures relating to defects in notice or tax laws.* If a State has filed a notice of election, then the Secretary shall, within 90 days after the notice is filed, notify the Governor of such State in writing of any defect in the notice of election which prevents it from being valid, and of any defect in the State's tax laws which causes the tax submitted to fail to meet the requirements for qualification specified in section 6362 and the regulations thereunder, other than the fact that no State agreement is in effect with respect thereto.

Any such defect of which the Secretary does not notify the Governor within such 90-day period is waived. The Secretary or his delegate may, in his discretion, permit any of such defects of which the Governor is timely notified to be cured retroactively to the date of the filing of the notice of election, by amendment of the notice or the State law. Judicial review of the Secretary's determination that the notice of election or the tax laws, or both, contain defects, may be obtained as set forth in section 6363(d) and § 301.6363–4.

(d) *Execution and contents of State agreement.* If the Secretary does not timely notify the Governor of a defect in the notice of election or in the State's tax laws, as provided in paragraph (c) of this section, or if, as provided in such paragraph, all such defects have been cured retroactively, then the Secretary shall enter into a State agreement. The agreement shall include the following elements:

(1) *Effective date.* The agreement shall specify the January 1 as of which subchapter E will commence to be applicable to the State. Such date shall be the same as that specified in the notice of election pursuant to paragraph (a)(5) of this section, unless the parties agree to a different January 1, except that in no event shall a State agreement executed after November 1 specify the next January 1.

(2) *Obligation of Governor to notify the United States of changes in pertinent State laws.* The agreement shall require the Governor of the State, and his successors in office, to notify the Secretary or his delegate within 30 days of the enactment of any law of the State, after the execution of the agreement, of a type described in paragraph (a)(2) of this section.

(3) *Obligation of Governor to furnish to the United States information needed to administer State tax laws.* The agreement shall require the Governor and his successors to furnish to the Secretary or his delegate any information needed by the Federal Government to administer the State tax laws. Such information shall include, for example, a list (which shall be maintained on a current basis) of those obligations of the State or its political subdivisions described in section 103(a)(1) from which the interest is not subject to the qualified taxes of the State.

(4) *Identification of State official to act as liaison with Federal Government.* The agreement shall include a designation by the Governor of the State official or officials with whom the Secretary or his delegate should coordinate in connection with any questions or problems which may arise during the period for which the State agreement is effective, including those which may result from

changes or contemplated changes in pertinent State laws.

(5) *Identification of State official to receive transferred funds.* The agreement shall include a designation by the Governor of the State official who shall initially receive the funds on behalf of the State when they are transferred pursuant to section 6361(c) and § 301.6361–3.

(6) *Other obligations.* If the Secretary and the Governor both so agree, the agreement shall provide for additional obligations.

(e) *State agreement superseding certain other agreements.* For the period of its effectiveness, a State agreement shall supersede an otherwise effective agreement entered into by the State and the Secretary for the withholding of State income taxes from the compensation of Federal employees pursuant to 5 U.S.C. 5517 (or pursuant to 5 U.S.C. 5516, in the case of the District of Columbia).

§ 301.6363–2 Withdrawal from State agreements.

(a) *By notification.* If a State which has entered into a State agreement desires to withdraw from the agreement, its Governor shall file a notice of withdrawal with the Secretary or his delegate. A notice of withdrawal shall include the following documents:

(1) *Request by the Governor.* A request by the Governor of the State that the State agreement cease to be effective with respect to taxable years beginning on or after a specified January 1, except as provided in paragraph (b)(2) of § 301.6365–2 with respect to withholding in the case of fiscal-year taxpayers.

(2) *Legislative approval of withdrawal.* A certified copy of an Act or Resolution of the legislature of the State in which the legislature affirmatively expresses its approval of the State's withdrawal from the State agreement.

(3) *Identification of State official.* A written identification of the State official or officials with whom the Secretary or his delegate should coordinate in connection with the State's withdrawal from the State agreement.

(b) *By change in State law.* If any law of a State which has entered into a State agreement is enacted pertaining to individual income taxes (including the collection or administration of such taxes, and the prosecution of alleged civil or criminal violations with respect to such taxes), and if the Secretary or his delegate determines that as a result of such law the State no longer has a qualified tax, then such change in the State law shall be treated as a notification of withdrawal from the agreement. The Secretary shall notify the Governor in writing when a change is to be so treated. Such notification shall have the same effect as if, on the effective date of the disqualifying change in the law, the Governor had filed with the Secretary or his delegate a valid and sufficient notice of withdrawal requesting that the State agreement cease to be effective with respect to taxable years beginning on or after the first January 1 which is more than 6 months thereafter, subject to the exception with respect to withholding in the case of fiscal-year taxpayers. However, the cessation of effectiveness may be deferred to a subsequent January 1 if the Governor so requests and if the Secretary or his delegate in his discretion determines that the date of cessation provided in the preceding sentence would subject the State or its taxpayers to undue hardship. In addition, the Governor may request the Secretary or his delegate to permit the State's early withdrawal from the agreement, pursuant to paragraph (c)(2) of this section. Until the date of cessation of effectiveness of the State agreement, the change in State law which was treated as a notification of withdrawal, and any other such subsequent change that would be similarly treated, shall not be given effect for purposes of the Federal collection and administration of the State taxes. Similarly, such changes shall not be given effect for such purposes during the period of litigation if the State seeks judicial review of the action of the Secretary or his delegate pursuant to section 6363(d) or § 301.6363–4, even if such changes are ultimately found by the court not to disqualify the State's qualified tax. However, a change in State law which would be treated as a notice of withdrawal in the absence of this sentence shall not be so treated if, prior to the last November 1 preceding the January 1 on which the cessation of effectiveness of the State agreement is to occur, either such change in State law is retroactively repealed, or the State law is retroactively modified and the Secretary or his delegate determines that with such modification the State has a qualified tax.

(c) *Rules relating to time of withdrawal.*—(1) *General rule.* Except as provided in subparagraph (2) of this paragraph, a notice of withdrawal shall not be valid unless the January 1 specified therein is not earlier than the first January 1 which is more than 6 months subsequent to the date on which the notice is received by the Secretary of his delegate. Thus, for example, if the notice is received by the Secretary or his drawal, the notice must be received no later than June 30, 1979.

(2) *Early withdrawal.* The Secretary or his delegate may, in his discretion and upon written request by a Governor of a State who has filed a notice of withdrawal, waive the 6-months requirement of section 6363(b)(1) and subparagraph (1) of this paragraph if the Secretary determines that:

(i) The State will suffer a hardship if required to meet such requirement, and

(ii) The early withdrawal requested by the Governor would be practicable from the standpoint of orderly collection of the qualified tax and administration of the State law by the Federal Government.

§ 301.6363–3 Transition years.

The State may by law provide for the transition to or from a qualified tax to the extent necessary to prevent double taxation or other unintended hardships, or to prevent unintended benefits, under State law. Generally, such provisions shall be administered by the State; but, if requested to do so by the Governor of the State, the Secretary or his delegate may, in his discretion, agree to administer such provisions either solely or jointly with the State.

§ 301.6363–4 Judicial review.

(a) *General rule.* If the Secretary or his delegate determines pursuant to paragraph (c) of § 301.6363–1 that a State did not file a valid notice of election or does not have a tax which would meet the requirements for qualification specified in section 6362 and the regulations thereunder if a State agreement were in effect with respect thereto, or if he determines pursuant to paragraph (b) of § 301.6363–2 that a participating State has enacted a law as a result of which the State no longer has a qualified tax, such State may, within 60 days after its Governor has received notification of such determination, file a petition for the review of such determination with either the United States Court of Appeals for the circuit in which the State is located or the United States Court of Appeals for the District of Columbia. If a State files such a petition, the clerk of the court shall forthwith transmit a copy of the petition to the Secretary or his delegate, who in turn shall thereupon file in the court the record of proceedings on which the determination adverse to the State was based, as provided in section 2112 of title 28, United States Code.

(b) *Court of Appeals' jurisdiction.* The Court of Appeals may affirm or set aside, in whole or in part, the action of the Secretary or his delegate; and (subject to the rules delaying the effectiveness of the change in State law provided in paragraph (b) of § 301.6363–2) the court may issue such other orders as may be appropriate with respect to taxable years which include any part of the period of litigation.

(c) *Review of Court of Appeals' judgment.* The judgment of the Court of Appeals shall be subject to review by the Supreme Court of the United States upon certiorari or certification sought by either party as provided in section 1254 of title 28, United States Code.

(d) *Effect of final judgment.* If a final judgment, rendered with respect to litigation involving a State's petition to review a determination of the Secretary or his delegate to the effect that the State's individual income tax laws included in its notice of election would not meet the requirements for qualification specified in section 6362 and the regulations thereunder if a State agreement were in effect with respect thereto, includes a determination that the State's tax would in fact meet such requirements, then the provisions of subchapter E shall apply to the State with respect to taxable years beginning on or after the first January 1 which is more than 6 months after the date of such final judgment. If a final judgment, rendered with respect to litigation involving a State's

petition to review a determination of the Secretary or his delegate to the effect that the State's previously-qualified tax ceases to qualify because of a change in the State's law, includes a determination that the State's tax does in fact cease to qualify, then the provisions of subchapter E (other than section 6363) shall cease to apply to the State with respect to taxable years beginning on or after the first January 1 which is more than 6 months after the date of such final judgment. See paragraph (b) of § 301.6365–2 for special rules with respect to withholding in the case of fiscal-year taxpayers.

(e) *Expeditious treatment of judicial proceedings.* Under section 6363(d)(4), any judicial proceedings to which a State and the United States are parties, and which are brought pursuant to section 6363, are entitled to receive a preference, and to be heard and determined as expeditiously as possible, upon request of the Secretary or the State.

§ 301.6365–1 Definitions.

(a) *State.* For purposes of subchapter E and the regulations thereunder, the term "State" shall include the District of Columbia, but shall not include the Commonwealth of Puerto Rico or any possession of the United States.

(b) *Governor.* For purposes of subchapter E and the regulations thereunder, the term "Governor" shall include the Mayor of the District of Columbia.

§ 301.6365–2 Commencement and cessation of applicability of subchapter E to individual taxpayers.

(a) *General rule.* Except for purposes of chapter 24 (relating to the collection of income tax at source on wages), whenever subchapter E begins or ceases to apply to any State (i.e., a State agreement begins or ceases to be effective) as of any January 1, such commencement or cessation of applicability shall apply to taxable years of individuals beginning on or after such date. For example, if subchapter E begins to apply to a particular State on January 1, 1980, it would become applicable for calendar year 1980 for calendar-year taxpayers in that State; but if a taxpayer in the State is using a fiscal year running from July 1 to June 30, the subchapter would begin to apply (except for purposes of chapter 24) to that taxpayer on July 1, 1980, for his taxable year ending June 30, 1981. Similarly, if the subchapter ceases to apply to such State on January 1, 1982, it would cease to apply to calendar-year taxpayers after the end of calendar year 1981; but it would cease to apply (except for purposes of chapter 24) to fiscal-year taxpayers at the end of their fiscal years which are in progress on Januray 1, 1982. The cessation of applicability of subchapter E to a State does not affect rights, duties, and liabilities with respect to any taxable year for which subchapter E does apply with respect to any taxpayer (or his employer).

(b) *Special rules pertaining to withholding*—(1) *Subchapter E beginning to apply.* The Federal withholding system provided in chapter 24 shall go into effect for State individual income tax purposes with respect to wages paid on or after the January 1 as of which subchapter E begins to apply to a State. If an employee is subject to a qualified tax imposed by the State, such withholding system shall apply to his wages paid on or after that January 1, without regard to whether he is a calendar-year or fiscal-year taxpayer. See § 301.6363–3 with respect to transition-year rules.

(2) *Subchapter E ceasing to apply.* The Federal withholding system provided in chapter 24 shall cease to be effective for State tax purposes with respect to wages paid on or after the January 1 as of which subchapter E ceases to apply to the State, although fiscal-year taxpayers of that State continue to be subject to the other provisions of subchapter E for the remainder of their fiscal years then in progress. See § 301.6363–3 with respect to transition-year rules.

Par. 22. Section 301.6405–1 is amended to read as follows:

§ 301.6405–1 Reports of refunds and credits.

Section 6405 requires that a report be made to the Joint Committee on Taxation of proposed refunds or credits in excess of $100,000 of any income tax (including any qualified State individual income tax collected by the Federal Government), war profits tax, excess profits tax, estate tax, or gift tax. An exception is provided under which refunds and credits made after July 1, 1972, and attributable to an election under section 165 (h) to deduct a disaster loss for the taxable year in which the disaster occurred, may be made prior to the submission of such report to the Joint Committee on Taxation.

JEROME KURTZ,
Commissioner of Internal Revenue.

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federal register

THURSDAY, SEPTEMBER 29, 1977
PART V

DEPARTMENT OF TRANSPORTATION

Federal Aviation Administration

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ADVISORY CIRCULAR CHECKLIST AND STATUS OF FEDERAL AVIATION REGULATIONS

[4910–13]

DEPARTMENT OF TRANSPORTATION

Federal Aviation Administration

[AC 00–2LL Effective July 15, 1977]

ADVISORY CIRCULAR CHECKLIST AND STATUS OF FEDERAL AVIATION REGULATIONS

1. *Purpose.* This notice contains the revised checklist of current FAA advisory circulars (and the status of Federal Aviation Regulations) as of July 15, 1977.

2. *Explanation.* The FAA issues advisory circulars to inform the aviation public in a systematic way of nonregulatory material of interest. Unless incorporated into a regulation by reference, the contents of an advisory circular are not binding on the public. Advisory circulars are issued in a numbered-subject system corresponding to the subject areas of the Federal Aviation Regulations (14 CFR Ch. I). This checklist is issued triannually to list all current advisory circulars and also includes a checklist showing the status of the Federal Aviation Regulations.

3. *The Circular Numbering System.*

a. *General.* The advisory circular numbers relate to the FAR subchapter titles and correspond to the Parts, and when appropriate, to the specific sections of the Federal Aviation Regulations. Circulars of a general nature bear a number corresponding to the number of the general subject (subchapter) in the FAR's. A general subject number is used *only* when a circular covers more than one Part.

b. *General subject numbers.* The general subject matter areas and related numbers are as follows:

General Subject Number and Subject Matter

00 General.
10 Procedural.
20 Aircraft.
60 Airmen.
70 Airspace.
90 Air Traffic Control and General Operations.
120 Air Carrier and Commercial Operators and Helicopters.
140 Schools and Other Certified Agencies.
150 Airports.
170 Air Navigational Facilities.
180 Administrative.
210 Flight Information.

Within the General Subject Number Areas, specific selectivity in advisory circular mail lists is available corresponding to the applicable FAR Parts. For example: under the 60 general subject area, separate mail lists for advisory circulars issued in the 61, 63, 65, or 67 series are available.

c. *Breakdown of subject numbers.* When the volume of circulars in a series warrants a subsubject breakdown, the general number is followed by a slash and a subsubject number. Material in the 150 series, Airports, is issued under the following subsubjects:

Number and Subject

150/1900 Defense Readiness Program.
150/4000 Resource Management.
150/5000 Airport Planning.
150/5100 Federal-aid Airport Program.
150/5150 Surplus Airport Property Conveyance Programs.
150/5190 Airport Compliance Program.
150/5200 Airport Safety—General.
150/5210 Airport Safety Operations (Recommended Training, Standards, Manning).
150/5220 Airport Safety Equipment and Facilities.
150/5230 Airport Ground Safety System.
150/5240 Civil Airports Emergency Preparedness.
150/5300 Design, Construction, and Maintenance—General.
150/5320 Airport Design.
150/5325 Influence of Aircraft Performance on Aircraft Design.
150/5335 Runway, Taxiway, and Apron Characteristics.
150/5340 Airport Visual Aids.
150/5345 Airport Lighting Equipment.
150/5360 Airport Buildings.
150/5370 Airport Construction.
150/5380 Airport Maintenance.
150/5390 Heliports.
150/5900 Planning Grant for Airports.

d. *Individual circular identification numbers.* Each circular has a subject number followed by a dash and a sequential number identifying the individual circular. This sequential number is not used again in the same subject series. Revised circulars have a letter A, B, C, etc., after the sequential number to show complete revisions. Changes to circulars have CH 1, CH 2, CH 3, etc., after the identification number on pages that have been changed. The date on a revised page is changed to the effective date of the change.

4. *The Advisory Circular Checklist.*

a. *General.* Each circular issued is listed numerically within its subject-number breakdown. The identification number (AC 120–1), the change number of the latest change, if any, to the right of the identification number, the title, and the effective date for each circular are shown. A brief explanation of the contents is given for each listing.

b. *Omitted numbers.* In some series, sequential numbers are missing. These numbers were assigned to advisory circulars still in preparation which will be issued later or were assigned to advisory circulars that have been canceled.

c. *Free and sales circulars.* This checklist contains advisory circulars that are for sale as well as those distributed free of charge by the Federal Aviation Administration. A list of circulars sold by the Superintendent of Documents is shown at the end of the numerical list of AC's. Please use care when ordering circulars to ensure that they are ordered from the proper source.

d. *Internal directives for sale.* A list of certain internal directives sold by the Superintendent of Documents is shown at the end of the checklist. These documents are not identified by advisory circular numbers, but have their own directive numbers.

5. *How to get circulars.*

a. When a price is listed after the description of a circular, it means that this circular is for sale by the Superintendent of Documents. When (Sub.) is included with the price, the advisory circular is available on a subscription basis only. After your subscription has been entered by the Superintendent of Documents, supplements or changes to the basic document will be provided automatically at no additional charge until the subscription expires. When no price is given, the circular is distributed free of charge by FAA.

b. Request free advisory circulars shown without an indicated price from:

U.S. Department of Transportation, Publications Section TAD 443.1, Washington, D.C. 20590.

c. Persons who want to be placed on FAA's mailing list for future circulars should write to:

U.S. Department of Transportation, Distribution Requirements Section, TAD 482.3, Washington, D.C. 20590.

NOTE: Be sure to identify the subject matter numbers and titles shown in paragraph 3b because separate mailing lists are maintained for each advisory circular subject series. Checklists and circulars issued in the General series will be distributed to every addressee on each of the subject series lists. Persons requesting more than one subject classification may receive more than one copy of related circulars and this checklist because they will be included on more than one mailing list. Persons already on the distribution list for AC's will automatically receive related circulars.

d. Order advisory circulars and internal directives with purchase price given from:

Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402;

or from any of the following Government bookstores located throughout the United States:

GPO Bookstore, Room 102A, 2121 Building, 2121 Eighth Avenue North, Birmingham, AL 35203.
GPO Bookstore, Federal Building, Room 1015, 300 North Los Angeles Street, Los Angeles, CA 90012.
GPO Bookstore, Federal Building, Room 1023, 450 Golden Gate Avenue, San Francisco, CA 94102.
GPO Bookstore, Federal Building, U.S. Courthouse, Room 1421, 1961 Stout Street, Denver, CO 80202.
GPO Bookstore, P.O. Box 713, Pueblo, CO 81002.
GPO Bookstore, Federal Building, Room 158, 400 West Bay Street, Jacksonville, FLA 32202.
GPO Bookstore, Room 100, Federal Building, 275 Peachtree Street NE., Atlanta, GA 30303.
GPO Bookstore, Everett McKinley Dirksen Building, Room 1463, 14th Floor, 219 South Dearborn Street, Chicago, IL 60604.
GPO Bookstore, Room G25, John F. Kennedy Federal Building, Sudbury Street, Boston, MA 02203.
GPO Bookstore, Federal Office Building, Room 229, 231 W. Lafayette Blvd., Detroit, MI 48226.
GPO Bookstore, Federal Building, Room 144, 601 East 12th Street, Kansas City, MO 64106.
GPO Bookstore, Room 1356, 26 Federal Plaza, New York, NY 10007.
GPO Bookstore, Room 207, Federal Office Bldg., 200 N. High St., Columbus, OH 43215.
GPO Bookstore, Federal Office Building, Room 171, 1240 East Ninth Street, Cleveland, OH 44199.
GPO Bookstore, Federal Office Bldg., Room 1214, 600 Arch St. Philadelphia, PA 19106.

GPO Bookstore, 45 College Center, 9319 Gulf Freeway, Houston, TX 77017.
GPO Bookstore, Room 1C46, Federal Building, U.S. Courthouse, 1100 Commerce Street, Dallas, TX 75202.
GPO Bookstore, Federal Building, Room 190, 915 Second Ave., Seattle, WA 98174.
GPO Bookstore, Federal Building, Room 190, 517 E. Wisconsin Avenue, Milwaukee, WI 53202.
GPO Bookstore, 710 North Capitol Street NW., Washington, D.C. 20402.

Special Notice

Orders for subscription items can no longer be accepted by the bookstores. These orders must be placed directly with the Superintendent of Documents, Washington, D.C. 20402.

Send check or money order with your order to the Superintendent of Documents. Make the check or money order payable to the Superintendent of Documents in the amounts indicated in the list. Orders for mailing to foreign countries should include an additional 25 percent of the total price to cover handling. No c.o.d. orders are accepted.

6. *Reproduction of Advisory Circulars.* Advisory circulars may be reproduced in their entirety or in part without permission from the Federal Aviation Administration.

7. *Cancellations.* The following advisory circulars are canceled:

AC 00-2KK Advisory Circular Checklist, 1-15-77. Canceled by AC 00-2LL Advisory Circular Checklist, July 15, 1977.
AC 00-44F Status of Federal Aviation Regulations, 12-1-76. Canceled by AC 00-44G Status of Federal Aviation Regulations, 5-1-77.
AC 00-45 Aviation Weather Services, 2-26-75. Canceled by AC 00-45A Aviation Weather Services, 4-28-77.
AC 20-13A Surface Effect Vehicles, 8-28-64. Canceled.
AC 20-41 Substitute Technical Standard Order (TSO) Aircraft Equipment, 8-30-65. Canceled by AC 20-41A Substitute Technical Standard Order (TSO) Aircraft Equipment, 4-5-77.
AC 20-72 Restricted Category Helicopter Maximum Weight Increases, 3-11-71. Canceled.
AC 23.1329-1 Automatic Pilot Systems Approval, 12-23-65. Canceled.
AC 25.253-1 High-Speed Characteristics, 11-24-65. Canceled by AC 25.253-1A High-Speed Characteristics, 12-27-76.
AC 60-15 Publication of Revised FAA Written Test Guides, 12-3-76. Canceled by AC 60-15A Publication of Revised FAA Written Test Guides, 6-9-77.
AC 61-12G Student Pilot Guide, 4-24-75. Canceled by AC 61-12H Student Pilot Guide, 2-14-77.
AC 61-16A Flight Instructor's Handbook, 10-14-69. Canceled.
AC 61-32A Private Pilot—Airplane—Written Test Guide, 12-1-71. Cancelled by AC 61-32B Private Pilot—Airplane—Written Test Guide, 5-2-77.
AC 61-50A Airplane Flight Characteristics * * * "Region of Revised Command," 3-15-76. Canceled.
AC 61-59 Private and Commercial Pilot, Flight Test Guide, 5-24-73. Canceled by AC 61-59A Private and Commercial Pilot-Helicopter Flight Test Guide, 3-3-77.
AC 61-61 Private and Commercial Pilot Glider, Flight Test Guide, 4-27-73. Canceled by AC 61-61A Private and Commercial Pilot Glider, Flight Test Guide, 12-3-76.
AC 61-62 Private and Commercial Pilot Free Balloon Flight Test Guide, June 1973. Canceled by AC 61-62A Private and Commercial Pilot Free Balloon Flight Test Guide, 12-17-76.
AC 61-71 Commercial Pilot — Airplane — Written Test Guide, 4-9-74. Canceled by AC 61-71A Commercial Pilot—Airplane—Written Test Guide, 3-24-77.
AC 61-72 Flight Instructor — Airplane — Written Test Guide, 4-9-74. Canceled by AC 61-72A Flight Instructor—Airplane—Written Test Guide, 3-24-77.
AC 65-13A FAA Inspection Authorization Directory, 4-18-74. Canceled by AC 65-13B FAA Inspection Authorization Directory, 11-26-76.
AC 65-9 Airframe & Powerplant Mechanics General Handbook, 8-26-69. Canceled by AC 65-9A Airframe & Powerplant Mechanics General Handbook, 4-12-76.
AC 65-12 Airframe & Powerplant Mechanics Powerplant Handbook, 9-25-70. Canceled by AC 65-12A Airframe & Powerplant Mechanics Powerplant Handbook, 4-12-76.
AC 65-15 Airframe & Powerplant Mechanics Airframe Handbook, 9-18-72. Canceled by AC 65-15A Airframe & Powerplant Mechanics Airframe Handbook, 4-12-76.
AC 90-59 Arrival and Departure Handling of High-Performance Aircraft, 2-28-72. Canceled.
AC 90-68 Minimum Vectoring Altitudes (MVA), 10-29-75. Canceled.
AC 90-71 Experimental Profile Descent Procedures/Charts, 11-22-76. Canceled.
AC 91-27A Systemsworthiness Analysis Program—General Aviation, 12-16-70. Canceled.
AC 91-45 Airshow Waivers, 6-10-76. Canceled by AC 91-45A Airshow Waivers, 5-16-77.
AC 103-5 Preparation and Loading of Magnetron Tubes and Magnetic Materials for Air Shipments, 7-16-74. Canceled by AC 121-23 Preparation and Loading of Magnetron Tubes and Magnetic Materials for Air Shipments, 2-10-77.
AC 120-31 Operational and Airworthiness Approval of Airborne Omega Radio Navigation Systems as a Means of Updating Self-Contained Navigation Systems, 12-15-76. Canceled by AC 120-31A Operational and Airworthiness Approval of Airborne Omega Radio Navigation Systems as a Means of Updating Self-Contained Navigation Systems, 4-21-77.
AC 135-1B Air Taxi Aircraft Weight and Balance Control, 1-19-76. Canceled by AC 135-1C Air Taxi Aircraft Weight and Balance Control, 2-10-77.
AC 135-5 Maintenance Program Approval for Carry-On Oxygen Equipment for Medical Purposes, 8-19-75. Canceled by AC 135-5A Maintenance Program Approval for Carry-On Oxygen Equipment for Medical Purposes, 11-23-76.
AC 140-2J List of Certificated Pilot Schools, 6-27-75. Canceled by AC 140-2K List of Certificated Pilot Schools, 4-25-77.
AC 143-1D Ground Instructor Written Test Guide—Basic—Advanced, 4-18-74. Canceled by AC 143-1E Ground Instructor Written Test Guide—Basic—Advanced, 1-24-77.
AC 143-2B Ground Instructor—Instrument—Written Test Guide, 6-25-70. Canceled by AC 143-2C Ground Instructor—Instrument—Written Test Guide, 1-30-76.
AC 147-2Q Directory of FAA Certificated Aviation Maintenance Technician, 11-26-77. Canceled by AC 147-2R Directory of FAA Certificated Aviation Maintenance Technician, 4-12-77.
AC 150/5100-5 Land Acquisition in the Federal-Aid Airport Program, 1-30-69. Canceled.
AC 150/5200-15 Availability of the International Fire Service Training Association's (IFSTA) Aircraft Fire Protection and Rescue Procedure's Manual, 9-11-70. Canceled by AC 150/5200-15A Availability of the International Fire Service Training Association's IFSTA) Aircraft Fire Protection and Rescue Procedure's Manual, 5-4-77.
AC 150/5210-4 FAA Aircraft Fire and Rescue Training Film, "Blanket for Survival" 10-27-65. Canceled.
AC 150/5280-2 Guidance for Airport Operators-Use of Notices to Airmen as Related to FAR Part 139. Canceled.
AC 150/5340-8 Airport 51-foot Tubular Beacon Tower, 6-11-64. Canceled.
AC 150/5345-3B Specification for L-821 Airport Lighting Panel for Remote Control of Airport Lighting, 4-21-72. Canceled by AC 150-5345-3C Specification for L-821 Panel for Remote Control of Airport Lighting, 3-30-77.
AC 150/5345-28B Specification for L-851 Visual Approach Slope Indicators and Accessories, 2-16-72. Canceled by AC 150/5345-28C Specification for L-851 Visual Approach Slope Indicators and Accessories, 3-23-77.

8. *Additions.* The following advisory circulars are added to the list.

AC 00-2LL Advisory Circular Checklist, 7-15-77.
AC 00-7A CH 1 State and Regional Disaster Airlift (SARDA) Planning, 1-6-77.
AC 00-44G Status of Federal Aviation Regulations, 5-1-77.
AC 00-45A Aviation Weather Services, 4-8-77.
AC 20-7N General Aviation Inspection Aids—
Supplement 6 Feb. 1977
Supplement 7 March 1977
Supplement 8 April 1977
Supplement 9 May 1977
Supplement 10 June 1977
Supplement 11 July 1977
AC 20-41A Substitute Technical Standard Order (TSO) Aircraft Equipment, 4-5-77.
AC 20-96 Surplus Military Aircraft—A Briefing for Prospective Buyers, 12-2-76.
AC 20-97 High Speed Tire Maintenance and Operational Practices, 1-28-77.
AC 20-98 Auxiliary Two-Way Airborne Radio System Installation, 5-23-77.
AC 20-99 Antiskid and Associated Systems, 5-27-77.
AC 21-15 New Issuance System for "Aircraft Type Certificate Data Sheets and Specifications" and "Aircraft Engine and Propeller Type Certificate Data Sheets and Specifications", 4-5-77.
AC 25.253-1A High-Speed Characteristics, 12-27-76.
AC 43.13-1A CH 2 Acceptable Methods, Techniques, and Practices—Aircraft Inspection and Repair, 12-22-76.
AC 43-14 Maintenance of Weather Radar Radomes, 2-4-77.
AC 60-14 Aviation Instructor's Handbook, 7-7-76.
AC 60-15A Publication of New FAA Written Test Study Guides, 6-9-77.
AC 61-12H Student Pilot Guide, 2-14-77.
AC 61-31B CH 1 Gyroplane Pilot Written Test Guide—Private and Commercial, 5-13-77.
AC 61-32B Private Pilot—Airplane—Written Test Guide, 5-2-77.
AC 61-59A Private and Commercial Pilot—Helicopter—Flight Test Guide, 3-3-77.

AC 61-61A Private & Commercial Pilot—Glider—Flight Test Guide, 12-31-76.
AC 61-62A Private and Commercial Pilot—Free Balloon—Flight Test Guide, 12-17-76.
AC 61-64A Instrument Pilot—Helicopter—Flight Test Guide, 5-25-77.
AC 61-71A Commercial Pilot—Airplane—Written Test Guide, 3-24-77.
AC 61-72A Flight Instructor—Airplane—Written Test Guide, 3-24-77.
AC 61-74A Flight Instructor—Rotorcraft/Helicopter—Written Test Guide, 5-27-77.
AC 61-81 Private and Commercial Pilot—Glider—Written Test Guide, 4-27-76.
AC 61-82 Airline Transport Pilot—Helicopter—Flight Test Guide, 8-25-76.
AC 61-84 Role of Preflight Preparation, 4-11-77.
AC 65-9A Airframe & Powerplant Mechanics General Handbook, 4-12-76.
AC 65-12A Airframe & Powerplant Mechanics Powerplant Handbook, 4-12-76.
AC 65-13B FAA Inspection Authorization Directory, 11-26-76.
AC 65-15A Airframe & Powerplant Mechanics Airframe Handbook, 4-12-76.
AC 90-73 Local Flow Traffic Management, 1-13-77.
AC 90-74 Announcing the Availability of United States Standard for Terminal Instrument Procedures (TERPS), 2-4-77.
AC 90-75 Strobe Light System Inspection Practices, 2-10-77.
AC 90-76 Flight Operations in Oceanic Airspace, 4-15-77.
AC 91-45A Airshow Waivers, 5-16-77.
AC 91-46 Gyroscopic Instruments—Good Operating Practices, 2-4-77.
AC 91-47 Use of Portable Electronic Devices—Radio Receivers, 3-23-77.
AC 120-31A Operational and Airworthiness Approval of Airborne Omega Radio Navigation Systems as a Means of Updating Self-Contained Navigation Systems, 4-21-77.
AC 120-32 Air Transportation of Handicapped Persons, 2-25-77.
AC 121-1A Ch 3 Standard Operations Specifications—Aircraft Maintenance Handbook, 2-18-77.
AC 121-22 Maintenance Review Board (MRB), 1-12-77.
AC 121-23 Preparation and Loading of Magnetron Tubes and Magnetic Materials for Air Shipments, 2-10-77.
AC 121-24 Passenger Safety Information Briefing and Briefing Cards, 6-23-77.
AC 135-1C Air Taxi Aircraft Weight and Balance Control, 2-10-77.
AC 135-5A Maintenance Program Approval for Carry-On Oxygen Equipment for Medical Purposes, 11-23-76.
AC 140-2K List of Certificated Pilot Schools, 4-25-77.
AC 143-1E Ground Instructor Written Test Guide—Basic/Advanced, 1-24-77.
AC 147-2R Directory of FAA Certificated Aviation Maintenance Technician Schools, 4-12-77.
AC 150/5060-4 Announcement of Availability—Federal Aviation Administration Technical Reports on Airport Capacity and Aircraft Delay, 4-29-77.
AC 150/5100-13 Development of State Standards for General Aviation Airports, 3-1-77.
AC 150/5200-15A Availability of the International Fire Service Training Association's (IFSTA) Aircraft Fire Protection and Rescue Procedure's Manual, 5-4-77.
AC 150/5280-3 Fire Fighting Exemptions Under the 1976 Amendment to the Federal Aviation Act, 2-4-77.
AC 150/5335-1A CH 2 Airport Design Standards—Airports Served by Air Carriers—Taxiways, 12-29-76.
AC 150/5340-25 CH 1 Visual Approach Slope Indicator (VASI) Systems, 5-3-77.
AC 150/5345-1E CH 1 Approved Airport Lighting Equipment, 3-23-77.
AC 150/5343-3C Specification for L-821 Panels for Remote Control of Airport Lighting, 3-30-77.
AC 150/5354-28C Specifications for L-851 Visual Approach Slope Indicators and Accessories, 3-23-77.
AC 150/5354-49 Specification L-845, Radio Control Equipment, 5-20-77.
AC 150/5370-10 CH 1 Standards for Specifying Construction of Airports, 5-31-77.
AC 210-4 National Notice to Airmen (NOTAM) System Handbook, 3-3-77.
AC 210-4 Addendum to National Notice to Airmen (NOTAM) System Handbook

ADVISORY CIRCULAR CHECKLIST

Notice

Superintendent of Documents stock numbers have been included to aid Superintendent of Documents personnel in processing orders. Please use them when ordering—along with the title and FAA number. To avoid unnecessary delays, do not order single-sales material and subscription-sales material on the same order form, as orders are separated for processing by different departments when they arrive at Superintendent of Documents. Be sure your name and and address appears on each list.

NOTICE

Prices shown are those in effect as of July 15, 1977. Prices are subect to change without notice and the prices that will be charged on your order will be those in effect as of the date your order is processed.

General

SUBJECT NO. 00

00-1 The Advisory Circular System (12-4-62).

Describes the FAA Advisory Circular System.

00-2LL Advisory Circular Checklist (7-15-77).

Transmits the revised checklist of current FAA advisory circulars and the status of the Federal Aviation Regulations as of 7-15-77.

00-6A Aviation Weather (3-3-75).

Provides an up-to-date and expanded text for pilots and other flight operations personnel whose interest in meteorology is primarily in its application to flying. ($4.55 Supt. Docs.) SN 050-007-00283-1.

00-7A State and Regional Disaster Airlift (SARDA) Planning (6-3-74).

Provides guidance for the development and implementation of State and Regional Disaster Airlift plans governing the use of general aviation aircraft during national emergencies and natural disasters.

00-7A CH 1 Transmits revised material consisting of procedural changes for insertion in the basic.

00-21 Shoulder Harness (10-5-66).

Provides information concerning the installation and use of shoulder harnesses by pilots in general aviation aircraft.

00-24 Thunderstorms (6-12-68).

Contains information concerning flights in or near thunderstorms.

00-25 Forming and Operating a Flying Club (3-24-69).

Provides preliminary information that will assist anyone or any group of people interested in forming and operating a flying club ($0.75 Supt. Docs.) SN 050-007-00065-1.

00-26 Definitions of "U.S. National Aviation Standards" (1-22-69).

Informs the aviation community of the approval by the FAA Administrator of a definition of U.S. National Aviation Standards, the need for such standards, and their relationship to the Federal Aviation Regulations.

00-28 Communications Interference Caused by Sticking Microphone Buttons (8-6-69).

Alerts the industry of communications interference from undesired radiofrequency transmissions.

00-30 Rules of Thumb for Avoiding or Minimizing Encounters with Clear Air Turbulence (3-5-70).

Brings to the attention of pilots and other interested personnel, the "Rule of Thumb" for avoiding or minimizing encounters with clear air turbulence (CAT).

00-31 U.S. National Aviation Standard for the VORTAC System (6-10-70).

Informs the aviation community of the establishment and content of the U.S. National Aviation Standard for the VORTAC (VOR-TACAN-DME) System.

00-32 Civil Air Patrol and State and Regional Defense Airlift Relationships (7-2-70).

Advises interested persons of the Memorandum of Understanding between CAP and FAA, and provides additional guidance to further improve the use of non-air carrier aircraft in time of national emergency.

00-33A Nickel-Cadmium Battery Operational, Maintenance, and Overhaul Practices (2-14-73).

Provides guidelines for more reliable nickel-cadmium battery operation through proper operational and maintenance practices, and has been reissued to include reconditioning information.

00-34A Aircraft Ground Handling and Servicing (7-29-74).

Contains information and guidance for the servicing and ground handling of aircraft.

00-41A FAA Quality Control System Certification Program (11-3-75).

Describes the FAA Quality Control System Certification Program and the mechanics of implementation. It is intended for guidance and information only.

00–44G Status of the Federal Aviation Regulations (5–1–77).

Summarizes the current status of the conversion program, lists FAR prices, and provides ordering instructions for purchasing the regulations.

00–45A Aviation Weather Services (4–28–77).

Supplements AC 00–6A, Aviation Weather, in that it explains the weather service in general and the use and interpertation of reports, forecasts, weather maps, and prognostic charts in detail. Is an excellent source of study for pilot certificaiton examinations. ($3.00 Supt. Docs.) SN 050–007–00392–7.

00–46A Aviation Safety Reporting Program (3–31–76).

Advises that the FAA will modify the Aviation Safety Reporting Program, effective April 15, 1976, by utilizing NASA as a third party to receive and analyze the aviation safety reports. This study invites pilots, controllers, and other users of the airspace or any other person to report to NASA actual or potential discrepancies and dificiencies involving the safety of aircraft operations.

00–50 Low Level Wind Shear (4–8–76).

Provides guidance for recognizing the meteorological situations that produce the phenomenon widely known as low level wind shear.

Procedural

SUBJECT No. 10

11–1A Airspace Rule-Making Proposals and Changes to Air Traffic Control Procedures (12–21–72).

Emphasizes the need for the early submission of proposal involving airspace rule-making activity or changes to existing procedures for the control of air traffic.

11–2 Notice of Proposed Rulemaking Distribution System (12–17–75).

Provides the public with information relative to participation in the FAA rulemaking process and cxplains the availability of the Notices.

Aircraft

SUBJECT No. 20

20–3C Status and Availability of Military Handbooks and ANC Bulletins for Aircraft (6–1–73).

Announces the status and availability of Military Handbooks and ANC Bulletins prepared jointly with FAA, Navy and Air Force.

20–5D Plane Sense (2–11–76).

Provides general aviation information for the private aircraft owner and outlines requirements of owning and operating a personal type airplane.

AC 20–6BB U.S. Civil Aircraft Register (3–Vol. set) (Dec. 1976).

Lists all active U.S. civil aircraft by registration number. ($25.00 Supt. Docs.) SN 050–007–00348–0.

20–7N General Aviation Inspection Aids, 1976).

Provides the aviation community with a uniform means for interchanging service experience that may improve the durability and safety of aeronautical products. Of value to mechanics, operators of repair stations, and others engaged in the inspection, maintenance, and operation of aircraft general. ($9.00; $11.25 foreign—Sub. Supt. Docs.) SN 050–011–90045–4.

20–7N Supplement 1 (Sept. 1976).
20–7N Supplement 2 (Oct. 1976).
20–7N Supplement 3 (Nov. 1976).
20–7N Supplement 4 (Dec. 1976).
20–7N Supplement 5 (Jan. 1977).
20–7N Supplement 6 (Feb. 1977).
20–7N Supplement 7 (March 1977).
20–7N Supplement 8 (April 1977).
20–7N Supplement 9 (May 1977).
20–7N Supplement 10 (June 1977).
20–7N Supplement 11 (July 1977).

20–9 Personal Aircraft Inspection Handbook (12–2–64).

Provides a general guide, in simple, nontechnical language, for the inspection of aircraft. Reprinted 1972. ($1.90 Supt. Docs.) SN 050–011–00001–1.

20–17B Surplus Aircraft of the Armed Forces (10–11–72).

Sets forth the method of obtaining copies of Federal Aviation Regulations which might be required for certification of surplus military aircraft.

20–18A Qualification Testing of Turbojet Engine Thrust Reversers (3–16–66).

Discusses the requirements for the qualification of thrust reversers and sets forth an acceptable means of compliance with the tests prescribed in Federal Aviation Regulations, Part 33, when run under nonstandard ambient air conditions.

20–23D Interchange of Service Experience—Mechanical Difficulties (2–12–71).

Provides information on the voluntary exchange service experience data used in improving durability and safety of aeronautical products.

20–24A Qualification of Fuels, Lubricants, and Additives (4–1–67).

Establishes procedures for the approval of the use of subject materials in certificated aircraft.

20–27B Certification and Operation of Amateur-Built Aircraft (4–20–72).

Provides information and guidance concerning certification and operation of amateur-built aircraft, including gliders, free balloons, helicopters, and gyroplanes, and sets forth an acceptable means, not the sole means, of compliance with FAR Part 21 and FAR Part 91.

20–28A Nationally Advertised Construction Kits, Amateur-Built Aircraft (12–29–72).

Advises persons contemplating the use of nationally advertised kits for the construction of an aircraft, that certain kits when used could render the aircraft ineligible for the issuance of an experimental certificate as an amateur-built aircraft.

20–29B Use of Aircraft Fuel Anti-icing additives (1–18–72).

Provides information on the use of anti-icing additives PFA–55MB and Mil–I–27686 as an acceptable means of compliance with the FARs that require assurance of continuous fuel flow under conditions where ice may occur in turbine aircraft fuel systems.

20–30A Airplane Position Lights and Supplementary Lights (4–18–68).

Provides an acceptable means for complying with the position light requirements for airplane airworthiness and acceptable criteria for the installation of supplementary lights on airplanes.

20–32B Carbon Monoxide (CO) Contamination in Aircraft—Detection and Prevention (11–24–72).

Provides information on the potential dangers of carbon monoxide contamination from faulty engine exhaust systems or cabin heaters of the exhaust gas heat exchanger type.

20–33B Technical Information Regarding Civil Aeronautics Manuals 1, 3, 4a, 4b, 5, 6, 7, 8, 9, 13 and 14 (5–1–75).

Advises the public that policy information contained in the subject Civil Aeronautics Manuals may be used in conjunction with specific sections of the Federal Aviation Regulations.

20–34A Prevention of Retractable Landing Gear Failures (4–21–69).

Provides information and suggested procedures to minimize landing accidents involving aircraft having retractable landing gear.

20–35B Tie-Down Sense (4–19–71).

Provides information of general use on aircraft tie-down techniques and procedures.

20–36F Index of Materials, Parts, and Appliances Certified Under the Technical Standard Order System—July 1, 1976 (9–9–76).

Lists the materials, parts, and appliances for which the Administrator has received statements of conformance under the Technical Standard Order system as of July 1, 1976. Such products are deemed to have met the requirements for FAA approval as provided in Part 37 of the Federal Aviation Regulations.

20–37B Aircraft Metal Propeller Blade Failure (9–12–74).

Provides information and suggested procedures to increase service life and to minimize blade failures of metal propellers.

20–38A Measurement of Cabin Interior Emergency Illumination in Transport Airplanes (2–8–66).

Outlines acceptable methods, but not the only methods, for measuring the cabin interior emergency illumination on

transport airplanes, and provides information as to suitable measuring instruments.

20–40 Placards for Battery-Excited Alternators Installed in Light Aircraft (8–11–65).

Sets forth an acceptable means of complying with placarding rules in Federal Aviation Regulations 23 and 27 with respect to battery-excited alternator installations.

20–41A Substitute Technical Standard Order (TSO) Aircraft Equipment (4–5–77).

Sets forth an acceptable means for complying with rules governing aircraft equipment installations in cases involving the substitution of technical standard order or equipment for functionally similar TSO approved equipment.

20–42 Hand Fire Extinguishers in Transport Category Airplanes and Rotorcraft (9–1–65).

Sets forth acceptable means (but not the sole means) of compliance with certain hand fire extinguisher regulations in FAR 25 and FAR 29, and provides related general information.

AC 20–43C Aircraft Fuel Control (10–20–76).

Alerts the aviation community to the potential hazards of inadvertent mixing or contamination of turbine and piston fuels, and provides recommended fuel control and servicing procedures.

20–44 Glass Fiber Fabric for Aircraft Covering (9–3–65).

Provides a means, but not the sole means, for acceptance of glass fiber fabric for external covering of aircraft structure.

20–45 Safetying of Turnbuckles on Civil Aircraft (9–17–65).

Provides information on turnbuckle safetying methods that have been found acceptable by the FAA during past aircraft type certification programs.

20–46 Suggested Equipment for Gliders Operating Under IFR (9–23–65.)

Provides guidance to glider operators on how to equip their gliders for operation under instrument flight rules (IFR), including flight through clouds.

20–47 Exterior Colored Band Around Exits on Transport Airplanes (2–8–66).

Sets forth an acceptable means, but not the only means, of complying with the requirement for a 2-inch colored band outlining exits required to be openable from the outside on transport airplanes.

20–48 Practice Guide for Decontaminating Aircraft (5–5–66).

The title is self-explanatory.

20–51 Procedures for Obtaining FAA Approval of Major Alterations to Type Certificated Products (4–12–67).

Provides assistance to persons who desire to obtain FAA approval of major alterations to type certificate products.

20–52 Maintenance Inspection Notes for Douglas DC–6/7 Series Aircraft (8–24–67). (Consolidated Reprint—January 1974, includes Change 1.)

Describes maintenance inspection notes which can be used for the maintenance support of certain structural parts of DC–6 6/7 series aircraft.

20–53 Protection of Aircraft Fuel System Against Lightning (10–6–67).

Sets forth acceptable means, not the sole means, by which compliance may be shown with fuel system lightning protection airworthiness regulations.

20–54 Hazards of Radium-Activated Luminous Compounds Used on Aircraft Instruments (10–24–67).

Provides information concerning health hazards associated with the repair and maintenance of instruments containing luminous markings activated with radium-226 or radium-228 (mesothorium).

20–55 Turbine Engine Overhaul Standard Practices Manual—Maintenance of Fluorescent Penetrant Inspection Equipment (1–22–68).

Advises operators of the necessity for periodic checking of black light lamps and filters used during fluorescent penetrant inspection of engine parts.

20–56A Marking of TSO–C72b Individual Flotation Devices (4–1–75).

Outlines acceptable methods for marking individual flotation devices which also serve as seat cushions.

20–57A Automatic Landing Systems (ALS) (1–12–71).

Sets forth an acceptable means of compliance, but not the only means, for the installation approval of automatic landing systems in transport category aircraft which may be used initially in Category II operations. Approval of these aircraft for use under such conditions will permit the accumulation of data for systems which may be approved for Category IIIa in the future.

20–59 Maintenance Inspection Notes for Convair 240, 340/440, 240T, and 340T Series Aircraft (2–19–68).

Describes maintenance inspection notes which can be used for the maintenance support of certain structural parts of Convair 240, 340/440, 240T, and 340T series aircraft.

20–59 CH 1 (8–24–72).

Provides additional material for Convair Models 240 and 600/240D; Models 340/440 and 640/340D/440D series aircraft Maintenance inspection programs.

20–60 Accessibility to Excess Emergency Exits (7–18–68).

Sets forth acceptable means of compliance with the "readily accessible" provisions in the Federal Aviation Regulations dealing with excess emergency exits.

20–62C Eligibility, Quality, and Identification of Approved Aeronautical Replacement Parts (8–26–76).

Provides information relative to the determination of the eligibility of aeronautical parts and materials for installation on certificated aircraft.

20–63 Airborne Automatic Direction Finder Installations (Low and Medium Frequency) (7–7–69).

Sets forth one means, but not the only means, of demonstrating compliance with the airworthiness rules governing the functioning of airborne automatic direction finders. It does not pertain to installations previously approved.

20–64 Maintenance Inspection Notes for Lockheed L–188 Series Aircraft (8–1–69).

Describes maintenance inspection notes which can be used for the maintenance support of certain structural parts of Lockheed L–188 series aircraft.

20–64 CH 1 (10–26–73).

20–65 U.S. Airworthiness Certificates and Authorizations for Operation of Domestic and Foreign Aircraft (8–11–69).

Provides general information and guidance concerning issuance of airworthiness certificates for U.S. registered aircraft, and issuance of special flight authorizations for operation in the United States of foreign aircraft not having standard airworthiness certificates issued by the country of registry.

20–66 Vibration Evaluation of Aircraft Propellers (1–29–70).

Outlines acceptable means, but not the sole means, for showing compliance with the requirements of the FARs concerning propeller vibration.

20–67A Airborne VHF Communication System Installations (10–17–72).

Sets forth one means, but not the only means of demonstrating compliance with the airworthiness rules governing the functioning of airborne VHF communication systems.

20–68A Recommended Radiation Safety Precautions for Airborne Weather Radar (4–11–75).

Sets forth recommended radiation safety precautions for ground operation of airborne weather radar.

20–69 Conspicuity of Aircraft Instrument Malfunction Indicators (5–14–70).

Provides design guidance information on methods of improving conspicuity of malfunction indication devices.

20–71 Dual Locking Devices on Fasteners (12–8–70).

Provides guidance and acceptable means, not the sole means, by which compliance may be shown with the requirements for dual locking devices on removable fasteners installed in rotorcraft and transport category airplanes.

20–73 Aircraft Ice Protection (4–21–71).

Provides information relating to the substantiation of ice protection systems on aircraft.

20–74 Aircraft Position and Anticollision Light Measurements (7–29–71).

Contains useful information concerning measurements for intensity, covering, and color of aircraft position and anticollision lights.

20–76 Maintenance Inspection Notes for Boeing B–707/720 Series Aircraft (10–21–71).

Provides maintenance inspection notes which can be used for the maintenance support program for certain structural parts of the B–707/720 series aircraft.

20–77 Use of Manufacturers' Maintenance Manuals (3–22–72).

Informs owners and operators about the usefulness of manufacturers' maining, and maintaining aircraft, engines, tenance manuals for servicing, repair- and propellers.

20–78 Maintenance Inspection Notes for McDonnell Douglas DC–8 Series Aircraft (7–11–72).

Provides maintenance inspection notes which can be used for the maintenance support program for certain structural parts of the DC–8 series aircraft.

20–81 Accidental or Unauthorized Activation of Emergency Locator Transmitters (ELT) (10–10–72).

Alerts the general aviation community to the harmful effects of accidental or unauthorized activation of emergency locator transmitters.

20–82 Maintenance Inspection Notes for Fairchild Hiller F–27/FH–227 Series Aircraft (12–5–72).

Provides maintenance inspection notes which can be used for the maintenance support program for certain structural parts of Fairchild Hiller F–27/FH–227 series aircraft.

20–82 CH 1 (7–12–73).

Provides additional material for subject advisory circular.

20–83 Maintenance Inspection Notes for Boeing B–737 Series Aircraft (1–17–73).

Provides maintenance inspection notes which can be used for the maintenance support program for certain structural parts of the B–737 series aircraft.

20–83 CH 1 (8–8–74).

Provides updating of material for the B–737 series aircraft maintenance inspection program. Inspection of selected areas of the wing, fuselage, empennage and landing gear of B–737 series aircraft are presented supplementing information currently in AC 20–83.

20–83 CH 2 (1–31–75).

20–84 Maintenance Inspection Notes for Boeing B–727 Series Aircraft (1–22–73).

Provides inspection notes which can be used for the maintenance support program for certain structural parts of the B–727 series aircraft.

20–84 CH 1 (8–8–74).

Updates material for the B–727 series aircraft maintenance inspection program. Inspection of selected areas of the wing, fuselage, empennage and landing gear of the B–727 series aircraft are presented supplementing information currently available in AC 20–84.

20–84 CH 2 (1–31–75).

20–85 Emergency Locator Transmitters and Receivers (3–16–73).

Provides information concerning the design, installation, and utilization of emergency locator transmitters.

20–86 Aviation Education through Building an Airplane (5–11–73).

Provides information to high schools about the available assistance, resources, methods, and opportunities for attaining basic educational goals by building an airplane.

20–87 Airborne Homing and Alerting Equipment for use with Emergency Locator Transmitters (5–7–73).

Sets forth the availability of recommended basic characteristics for airborne homing and alerting equipment for use with emergency locator transmitters (ELT).

20–88 Guidelines on the Marking of Power-Plant Instruments (12–11–73).

Provides guidelines on the marking of aircraft powerplant instruments.

20–89 Communication Interference Caused by Unintentional Radio Transmissions (3–22–74).

Alerts the aviation community to the potential hazards created by unintentional radio transmissions from airborne, mobile, and ground based radio transmitters and gives guidance on alleviating ensuing hazards.

20–90B Address List for Engineering and Manufacturing District Offices (12–3–76).

Transmits the address list for all Engineering and Manufacturing District Offices.

20–91 Lithium Batteries Used in Emergency Locator Transmitters (4–11–75).

Warns of potential hazards associated with accidental release of sulfur-dioxide gas from lithium-sulfur batteries.

20–92 Anti-Icing Additives to Reduce Icing Problems in Aviation Gasoline (1–12–76).

Title is self explanatory.

20–93 Flutter Due to Ice or Foreign Substance on or in Aircraft Control Surfaces (1–29–76).

Provides information concerning the potential hazard associated with aircraft control surface flutter caused by imbalance.

20–94 Digital Clock Installation in Aircraft (3–4–76).

Provides guidelines for operating and installing digital clocks in aircraft.

20–95 Fatigue Evaluation of Rotorcraft Structure (5–18–76).

Sets forth acceptable means, not the only means, of compliance with the provisions of FAR sections 27.571 and 29.571 dealing with the fatigue evaluation of rotorcraft structure.

20–96 Surplus Military Aircraft—A Briefing for Prospective Buyers (12–2–76).

Provides many answers to questions regarding the purchasing of surplus military aircraft (type certification, is the aircraft flyable, is it for spare parts, scrap?).

20–97 High-Speed Tire Maintenance and Operational Practices (1–28–77).

Provides information on the causes of aircraft tire failures and methods of increasing tire reliability.

20–98 Auxiliary Two-Way Airborne Radio System Installations (5–23–77).

Provides guidance concerning installation and operation of two-way radio communication systems which are not used for controlling an aircraft in flight (i.e., mobile telephone, amateur radio, etc.).

20–99 Antiskid and Associated Systems (5–27–77).

Provides an acceptable means, but not the only means, of complying with the requirement that antiskid and associated systems must be designed so that no probable malfunction will result in a hazardous loss of braking or directional control of an airplane.

21–1B Production Certificates (5–10–76).

Provides information concerning Subpart G of Federal Aviation Regulations (FAR) Part 21, and sets forth acceptable means of compliance with its requirements.

21–2C Export Airworthiness Approval Procedures (5–7–76).

This advisory circular provides general information and guidance concerning issuance of export approvals under Federal Aviation Regulations (FAR) Part 21, Subpart L.

21–3 Basic Glider Criteria Handbook (1962).

Provides individual glider designers, the glider industry, and glider operating organizations with guidance material that augments the glider airworthiness

certification requirements of the Federal Aviation Regulations. Reprinted 1973. ($2.05 Supt. Docs.) SN 050-011-00004-6.

21-4B Special Flight Permits for Operation of Overweight Aircraft (7-30-69).

Furnishes guidance concerning special flight permits necessary to operate an aircraft in excess of its usual maximum certificated takeoff weight.

21-5D Summary of Supplemental Type Certificates (Announcement of Availability) (4-7-76).

Announces the availability to the public of the new Summary of Supplemental Type Certificates (SSTC), dated January 1976. (See back of this checklist under "Internal Directives" for further information.)

21-6 Production Under Type Certificate Only (5-26-67).

Provides information concerning Subpart F of FAR Part 21, and sets forth examples, when necessary, of acceptable means of compliance with its requirements.

21-7A Certification and Approval of Import Products (11-24-69).

Provides guidance and information relative to U.S. certification and approval of import aircraft, aircraft engines and propellers that are manufactured in a foreign country with which the United States has an agreement for the acceptance of those products for export and import.

21-8 Aircraft Airworthiness; Restricted Category: Certification of Aircraft With Uncertificated or Altered Engines or Propellers (5-21-69).

Sets forth acceptable means of substantiating that uncertificated or altered engines and propellers have no unsafe features for type certification of aircraft in the restricted category.

21-9 Manufacturers Reporting Failures, Malfunctions, or Defects (12-30-70).

Provides information to assist manufacturers of aeronautical products (aircraft, aircraft engines, propellers, appliances, and parts) in notifying the Federal Aviation Administration of certain failures, malfunctions, or defects, resulting from design or quality control problems, in the products which they manufacture.

21-10 Flight Recorder Underwater Locating Device (5-20-71).

Provides one acceptable means (not the only means) of showing compliance with the underwater locating device requirements of FAR 25.1459 and FAR 121.343.

21-11 Quality Assurance Systems Analysis Review (QASAR) Program Manufacturers/Suppliers (5-26-72).

Explains the objectives and concept of the FAA's subject program.

21-12 Application for U.S. Airworthiness Certificate, FAA Form 8130-6 (OMB 04-R0058) (1-17-73).

Provides instructions on the preparation and submittal of subject form.

21-13 Standard Airworthiness Certification of Surplus Military Aircraft and Aircraft Built from Spare and Surplus Parts (4-5-73).

Provides guidance and instructions on establishing eligibility and submitting application for civil airworthiness certification of surplus military aircraft and aircraft assembled from spare and surplus parts, under FAR 21.183(d) when an FAA Type Certificate has been issued under FAR 21.21 or FAR 21.27.

21-14 The Role of Simulation in the Aircraft Certification Process (6-12-75).

Informs the aviation industry that the FAA intends to conduct an exploratory program to determine the degree to which simulation can support the aircraft certification process.

21-15 New Issuance System for "Aircraft Type Certificate Data Sheets and Specifications" and "Aircraft Engine and Propeller Type Certificate Data Sheets and Specifications" (4-5-77).

Provides information concerning a change in the issuance system for the subject Type Certificates and Data Sheets.

21.25-1 Use of Restricted Category Airplanes for Glider Towing (4-20-65).

Announces that glider towing is now considered to be a special purpose for type and airworthiness certification in the restricted category.

21.303-1A Certification Procedures for Products and Parts (8-10-72).

Provides information concerning section 21.303 of Federal Aviation Regulations, Part 21, and to set forth examples, as necessary, of acceptable means of compliance with its requirements.

21.303-2 Availability of Listing, "Parts Manufacturer Approvals" — 1975 (3-31-76).

Announces the availability of the parts listing from the Superintendent of Documents at a price of $15.

25-2 Extrapolation of Takeoff and Landing Distance Data Over a Range of Altitude for Turbine-Powered Transport Aircraft (7-9-64).

Sets forth acceptable means by which compliance may be shown with the requirements in CAR 4b and SR-422B.

25-4 Inertial Navigation Systems (INS) (2-18-66).

Sets forth an acceptable means for complying with rules governing the installation of inertial navigation systems in transport category aircraft.

25-5 Installation Approval on Transport Category Airplanes of Cargo Unit Load Devices Approved as Meeting the Criteria in NAS 3610 (6-3-70).

Sets forth an acceptable means, but not the sole means, of complying with the requirements of the Federal Aviation Regulations (FAR's) applicable to the installation on transport category airplanes of cargo unit load devices approved as meeting the criteria in NAS 3610.

25-6 Ground Proximity Warning Systems (GPWS) (12-31-74).

Outlines acceptable ground proximity warning system performance. System performance, other than that described, may also be acceptable when adequately substantiated.

25.253-1A High-Speed Characteristics (12-27-76).

Sets forth an acceptable means, but not the only means, by which compliance may be shown with FAR 25.253 during certification flight tests.

25.981-1A Guidelines for Substantiating Compliance With the Fuel Tank Temperature Requirements (1-20-71).

Sets forth some general guidelines for substantiating compliance with fuel tank temperature airworthiness standards section 25.981.

25.1329-1A Automatic Pilot System Approval (7-8-68).

Sets forth an acceptable means by which compliance with the automatic pilot installation requirements of FAR 25.1329 may be shown.

25.1457—1A Cockpit Voice Recorder Installations (11-3-69).

Sets forth one acceptable means of compliance with provisions of FAR 25.1457 (b), (e), and (f) pertaining to area microphones, cockpit voice recorder location, and erasure features.

29-1 Approval Basis for Automatic Stabilization Equipment (ASE) Installations in Rotorcraft (12-26-63).

Gives means for compliance with flight requirements in various CAR's.

29-1 CH 1 (3-26-64).

Transmits revised information about the time delay of automatic stabilization equipment.

29.773-1 Pilot Compartment View (1-19-66).

Sets forth acceptable means, not the sole means, by which compliance with FAR 29.773(a)(1), may be shown.

33-1B Turbine-Engine Foreign Object Ingestion and Rotor Blade Containment Type Certification Procedures (4-22-70).

Provides guidance and acceptable means, not the sole means, by which compliance may be shown with the design and construction requirements, of Part 33 of the Federal Aviation Regulations.

33–2A Aircraft Engine Type Certification Handbook (6–5–72).

Contains guidance relating to type certification of aircraft engines which will constitute acceptable means, although not the sole means, of compliance with the Federal Aviation Regulations.

33–3 Turbine and Compressor Rotors Type Certification Substantiation Procedures (9–9–68).

Sets forth guidance and acceptable means, not the sole means, by which compliance may be shown with the turbine and compressor rotor substantiation requirements in FAR Part 33.

36–1A Certificated Airplane Noise Levels (7–21–75).

Provides noise level data for airplanes certificated under FAR Part 36 since its publication on Nov. 18, 1969.

36–2 Estimated (Uncertificated) Noise Levels of Aircraft (9–21–76).

Provides estimates of noise levels from airplanes not certificated to FAR Part 36 standards.

37–2A Test Procedures for Maximum Allowable Airspeed Indicators (10–22–74).

Provides guidance concerning test procedures which may be used in showing compliance with the standards in FAR 37.145 (TSO–C46a).

37–3A Radio Technical Commission for Aeronautics Document DO–160 (3–20–75).

This circular announces RTCA Document DO–160 and discusses how it may be used in connection with technical standard order authorizations.

39–1A Jig Fixtures; Replacement of Wing Attach Angles and Doublers on Douglas Model DC–3 Series Aircraft Airworthiness Directive 66–18–2 (3–5–70).

Describes methods of determining that jig fixtures used in the replacement of the subject attached angles and doublers meet the requirements of Airworthiness Directive 66–18–2.

39–6E Summary of Airworthiness Directives (2–11–76).

Announces the availability of Summary of Airworthiness Directives dated January 1, 1976 from the FAA in Oklahoma City and how to obtain them.

43–2A Minimum Barometry for Calibration and Test of Atmospheric Pressure Instruments (8–22–74).

Sets forth guidance material which may be used to determine the adequacy of barometers used in the calibration of aircraft static instruments and presents information concerning the general operation, calibration, and maintenance of such barometers.

43–3 Nondestructive Testing in Aircraft (5–11–73).

Reviews the basic principles underlying nondestructive testing. ($0.75 Supt. Docs.) SN 5007–00208.

43–4 Corrosion Control for Aircraft (5–15–73).

Summarizes current available data regarding identification and treatment of corrosive attack on aircraft structure and engine materials.

43–4 CH 1 (3–1–74).

Provides additional information on identification and treatment of corrosion attack on aircraft structures. Adds a new Chapter 14—Corrosion control of aircraft used in agricultural cropdusting operations.

43–4 CH 2 (10–8–74).

Clarifies the discussion on the removal of corrosion and treatment of corroded areas.

43–5 Airworthiness Directives for General Aviation Aircraft (8–13–74).

Points areas of misunderstanding regarding: (1) Aircraft owners and operators' responsibility for complying with AD's; (2) maintenance personnel responsibilities with regards to performance of AD's; and (3) maintenance records entries for AD's required by FAR 91.173(a)(2)(v) and FAR 43.9.

43–6 Automatic Pressure Altitude Encoding Systems and Transponder Maintenance and Inspection Practices (9–19–74).

Provides information on the installation of encoding altimeters based upon recently acquired operating experience and on the maintenance of ATC transponders.

43–7 Ultrasonic Testing for Aircraft (9–24–74).

Describes methods used in ultrasonic nondestructive testing, discusses the many advantages, and points out the simplicity of the tests. Contains many illustrations. ($1 Supt. Docs.) SN 050–007–00282–3.

43–8 Maintaining Hot Air Balloons in an Airworthy Condition (1–2–75).

Contains information designed to assist balloon owners and operators in maintaining hot air balloons in an airworthy condition. Advises how the maintenance rules of FAR Part 43 apply.

43–9 Maintenance Records: General Aviation Aircraft (2–19–75).

Provides information to assist maintenance personnel in fulfilling their responsibility under FAR Section 43.9.

43–10 Mechanical Work Performed on U.S. and Canadian Registered Aircraft (1–26–76).

Provides information and guidance to aircraft owners/operators and maintenance personnel concerning mechanical work performed on U.S. registered aircraft by Canadian maintenance personnel and on Canadian registered aircraft by U.S. maintenance personnel.

43–11 Reciprocating Engine Overhaul Terminology and Standards (4–7–76).

Discusses engine overhaul terminology and standards that are used by the aviation industry.

43–12 Preventive Maintenance (7–16–76).

Provides information concerning preventive maintenance and who may perform it.

43–14 Maintenance of Weather Radar Radomes (2–24–77).

Provides guidance material useful to repair facilities in the maintenance of weather radomes.

43.9–1C Instruction for Completion of FAA Form 337 (12–20–73).

Provides instructions for completing revised FAA Form 337, Major Repair and Alteration (Airframe, Powerplant, Propeller, or Appliance).

43.13–1A Acceptable Methods, Techniques and Practices—Aircraft Inspection and Repair (4–17–72).

Contains methods, techniques, and practices acceptable to the Administrator for inspection and repair to civil aircraft. Published in 1973. ($3.70—Supt. Docs.) SN 050–011–00058–5.

43.13–1A CHG 1 (5–12–75).

Transmits new and revised material for basic advisory circular. ($0.65—Supt. Docs.) SN 050–007–00294–7.

43.13–1A Ch 2 (12–22–76).

Transmits revised material concerning aircraft instrument adjustments. ($0.35 Supt. Docs.) SN 050–007–00368–4.

43.13–2 Acceptable Methods, Techniques, and Practices—Aircraft Alterations (4–19–66).

Contains methods, techniques, and practices acceptable to the Administrator in altering civil aircraft. Published in 1965. ($3.60–$4.50 foreign Sub.—Supt. Docs.)

Subscription now includes: Changes 1 thru 14 Consolidated Reprint in 1973, Change 15 dated 1–15–74, and Change 16 dated 8–12–74.

43–203A Altimeter and Static System Tests and Inspections (6–6–67).

Specifies acceptable methods for testing altimeter and static system. Also, provides general information on test equipment used and precautions to be taken.

45–2 Identification and Registration Marking (7–7–72).

Provides guidance and information concerning the identification and marking requirements of Federal Aviation Regulations (FAR) Parts 21 and 45, and where considered helpful, to provide an acceptable means, but not the sole means, of compliance with the regulations.

47–1A Aircraft Registration, Eligibility, Identification and Activity Report (6–7–73).

Advises owners and operators of U.S. civil aircraft of requirement for annual submission of current information related to aircraft registration eligibility, requests similar submission of information related to identification and activity of aircraft; and to call attention to the availability of the reporting form to be used.

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60–2M Annual Aviation Mechanic Safety Awards Program (2–6–75).

Provides the details of the annual Aviation Mechanic Safety Awards Program.

60–4 Pilot's Spatial Disorientation (2–9–65).

Acquaints pilots flying under visual flight rules with the hazards of disorientation caused by the loss of reference with the natural horizon.

60–6A Airplane Flight Manuals (AFM), Approved Manual Materials, Markings, and Placards—Airplanes (2–9–76).

Alerts pilots to the regulatory requirements relating to the subject and provides information to aid pilots to comply with these requirements.

60–9 Induction Icing—Pilot Precautions and Procedures (2–28–73).

Provides the pilot with information on the causes and results of induction icing in reciprocating aircraft engines, and the precautions he should take to reduce the likelihood of icing, and the means available to him in controlling icing when it is encountered.

60–10 Recommended Safety Parameters for Operation of Hang Gliders (5–16–74).

Suggests safety parameters for the operation of "hang gliders" and to present the current FAA intent with respect to the regulation and operation of those vehicles.

60–11 Aids Authorized for Use by Airman Written Test Applicants (8–27–74).

Clarifies FAA policy concerning aids that applicants may use when taking airman written tests.

60–12 Availability of Industry-Developed Guidelines for the Conduct of the Biennial Flight Review (2–11–76).

Informs all FAA certificated flight instructors of the availability of, and how to obtain, the industry-developed guidelines for the conduct of the Biennial Flight Review.

60–13 The Accident Prevention Counselor Program (4–27–76).

Provides information to acquaint the general aviation community with the accident prevention counselor program and outlines the ways the accident prevention counselor force enhances aviation safety.

60–14 Aviation Instructor's Handbook (7–7–76).

Provides the aviation instructor with comprehensive, accurate, and easily understood information on learning and teaching and to relate this information to students. Cancels AC 61–16A. ($2.75 Supt. Docs.) SN 050–011–00072–1.

60–15A Publication of New Written Test Study Guides (6–9–77).

Announces the revision of the written test study guides for selected testing areas which will contain representative questions and responses used in the current FAA certification tests.

61–1E Aircraft Type Ratings (3–22–76).

Provides designators adopted by the Federal Aviation Administration for aircraft type ratings issued with pilot certificates.

61–8C—Instrument Rating (Airplane) Written Test Guide (5–31–72).

Reflects the current operating procedures and techniques in a background setting appropriate for applicants preparing for the subject test. ($1.45 Supt. Docs.) SN 050–007–00183–5.

61–9B Pilot Transition Courses for Complex Single-Engine and Light, Twin-engine Airplanes (1–15–74).

A guide to the procedures and standards to be followed for a thorough and comprehensive checkout in modern single- and twin-engine aircraft. ($0.45 Supt. Docs.) SN 050–007–00226–2.

61–10A Private and Commercial Pilots Refresher Courses (9–27–72).

Provides a syllabus of study requirements and describes the areas of training that should be emphasized. ($0.55 Supt. Docs.) SN 050–011–00060–5.

61–12H Student Pilot Guide (2–14–77).

Provides guidance for student pilots and those already in primary flight training. Updated to include requirements covered in Part 61. ($1.50 Supt. Docs.) SN 050–007–00377–3.

61–13A Basic Helicopter Handbook (4–5–73).

Provides detailed information to applicants preparing for private, commercial, and flight instructor pilot certificates with a helicopter rating about helicopter aerodynamics, performance, and flight maneuvers. It will also be useful to certificated helicopter flight instructors as an aid in training students. ($2.50 Supt. Docs.) SN 050–011–00064–0.

61–18D Airline Transport Pilot (Airplane) Written Test Guide (2–14–75).

Reflects current operating procedures and techniques in a background setting appropriate for applicants preparing for the Airline Transport Pilot (Airplane) Written Test. ($2.05 Supt. Docs.) SN 050–007–00301–3.

61–19 Safety Hazard Associated With Simulated Instrument Flights (12–4–64).

Emphasizes the need for care in the use of any device restricting visibility while conducting simulated instrument flights that may also restrict the view of the safety pilot.

61–21 Flight Training Handbook (1–11–66).

Provide information and direction in the introduction and performance of training maneuvers for student pilots, pilots requalifying or preparing for additional ratings, and flight instructors. Reprinted in 1969. ($2.15 Supt. Docs.) SN 050–007–00008–1.

61–23A Pilot's Handbook of Aeronautical Knowledge (7–10–70).

Contains essential, authoritative information used in training and guiding applicants for private pilot certification, flight instructors, and flying school staffs. ($5.30 Supt. Docs.) SN 050–011–00051–8.

61–27B Instrument Flying Handbook (9–22–70).

Provides the pilot with basic information needed to acquire an FAA instrument rating. It is designed for the reader who holds at least a private pilot certificate and is knowledgeable in all areas covered in the "Pilot's Handbook of Aeronautical Knowledge." ($3.35 Supt. Docs.) SN 050–007–00067–7.

61–31B Gyroplane Pilot Written Test Guide, Private and Commercial (4–14–76).

Provides guidance and assistance to applicants who are preparing for the Private or Commercial Pilot Certificate with a Rotorcraft-Gyroplane Rating under the provisions of FAR Part 61.

61–31B Chg 1 (5–13–77).

61–32B Private Pilot—Airplane—Written Test Guide (5–2–77).

Provides information, guidelines, and sample test items to assist applicants for the Private Pilot Certificate in attaining necessary aeronautical knowledge ($2.30 Supt. Docs.) SN 050–011–00073–9.

61–34B Federal Aviation Regulations Written Test Guide for Private, Commercial and Military Pilots (2–10–75).

Outlines the scope of the basic knowledge required of civilian or military pilots who are studying FARs as they pertain to the Regulations terminology; to the certification of private and commercial pilots; to the operation of aircraft in the national airspace; and to the requirements of the National Transportation Safety Board. For use as a guide in preparing for the FAR Written Test. ($0.70 Supt. Docs.) SN 050–007–00288–2.

61–42A Airline Transport Pilot (Helicopter) Written Test Guide (1–20–72).

Describes the type and scope of required aeronautical knowledge covered in the written tests, lists reference materials available from GPO bookstores, and presents sample test items with answers and explanations. ($0.70 Supt. Docs.) SN 050–011–00057–7.

61–43A Glider Pilot Written Test Guide—Private and Commercial (1–12–72).

Provides information, guidelines, and sample test items, to assist applicants for

the Glider Pilot certificate in attaining necessary aeronautical knowledge.

61–45 Instrument Rating (Helicopter) Written Test Guide (1–24–68).

Assists applicants who are preparing for the helicopter instrument rating. Presents a study outline, study materials and a sample test with answers.

61–47 Use of Approach Slope Indicators for Pilot Training (9–16–70).

Informs pilot schools, flight instructors and student pilots of the recommendation of the Federal Aviation Administration on the use of approach slope indicator systems for pilot training.

61–51 Reporting Flight Time on Pilot Applications, FAA Form 8420–3 (6–26–72).

Advises applicants of the importance of entering their pilot flight time on subject form. (OBM No. 04–R0064.)

61–52B Flight Instructor of the Year Award Program (1–5–74).

Provides the details of the Flight Instructor of the Year Award Program.

61–54A Private Pilot Airplane . . . Flight Test Guide (4–18–75).

Contains information and guidance concerning the pilot operations, procedures, and maneuvers relevant to the airplane category with a single-engine land/sea or multiengine land/sea rating. ($1.35 Supt. Docs.) SN 050–007–00300–5.

61–55A Commercial Pilot Airplane . . . Flight Test Guide (4–25–75).

Assists the applicant and the instructor in preparing for the flight test for certification as a commercial pilot with single engine land or sea rating and for multiengine land or sea ratings. ($1.10 Supt. Docs.) SN 050–007–00295–5.

61–56A Flight Test Guide, Instrument Pilot Airplane (5–7–76).

Assists the applicant and the instructor in preparing for the flight test for the Instrument Pilot Airplane Rating. ($0.55 Supt. Docs.) SN 050–007–00343–9.

61–57A Type Rating, Airplane, Flight Test Guide (5–1–75).

Contains information and guidance concerning the pilot operations, procedures, and maneuvers relevant to the flight test required for an Airplane Type Rating. ($0.70 Supt. Docs.) SN 050–007–00299–8.

61–58 Flight Instructor Practical Test Guide (5–1–73).

Outlines new requirements based on changes to FAR Part 61, Certification of Pilots and Flight Instructors. ($0.50 Supt. Docs.) SN 050–011–00067–4.

61–59A Private and Commercial Pilot—Helicopter—Flight Test Guide (3–3–77).

Assists applicants for the Private or Commerical Pilot Rotorcraft Certificate with Helicopter Rating in preparing for their certification flight test. ($1.60 Supt. Docs.) SN 050–007–00384–6.

61–60 Private and Commercial Pilot Gyroplane, Flight Test Guide (May 1973).

Outlines appropriate pilot operations and the minimum standards for the performance of each procedure or maneuver which will be accepted by the examiner as evidence of the pilot's competency, under Part 61 (revised). ($0.65 Supt. Docs.) SN 050–011–00066–6.

61–61A Private and Commercial Pilot—Glider—Flight Test Guide (12–3–76).

Prepared to assist the applicant and the instructor in preparing for the flight test for the Private and the Commercial Pilot certificate with Glider Rating. Contains information concerning pilot operations, procedures and maneuvers relevant to the flight test. ($1.50 Supt. Docs.) SN 050–011–00071–2.

61–62A Private and Commercial Pilot—Free Balloon—Flight Test Guide (12–17–76).

Prepared to assist the applicant in preparing for the flight test for the Private or Commerical Pilot Certificate with a lighter-than-air category and free balloon class. Contains information concerning the operations, procedures, and maneuvers relevant to the flight test. ($1.10 Supt. Docs.) SN 050–007–00375–7.

61–63 Flight Test Guide, Private and Commercial Pilot—Lighter-Than-Air Airship (5–23–74).

Establishes a new concept of pilot training and certification requirements. To provide a transition to these revised requirements, Part 61 (revised) permits the applicant, for a period of 1 year after the effective date, to meet either the previous requirements for the Private Pilot Certificate as outlined in Part 61, prior to November 1, 1973.

61–64 Flight Test Guide—Instrument Pilot Helicopter (7–23–73).

Assists the applicant and his instructor in preparing for the flight test for the Instrument Pilot Helicopter Rating under the revised Part 61 ($0.55 Supt. Docs.) SN 050–007–00215–7.

61–65 Part 61 (Revised) Certification: Pilot and Flight Instructors (9–5–73).

Informs pilots and flight instructors of the changes in Part 61, revised January 23, 1973, their effects, and the standards and procedures which will be used in implementing them.

61–66 Annual Pilot in Command Proficiency Checks (11–2–73).

Presents material relating to annual proficiency checks required for pilots-in-command of civil aircraft type certificated for more than one required pilot crewmember, other than those operating under Parts 121, 123, 127, 133, 135, and 137.

61–67 Hazards Associated with Spins in Airplanes Prohibited from Intentional Spinning (2–1–74).

Informs pilots of the airworthiness standards for the type certification of small airplanes prescribed in Section 23.221 of the Federal Aviation Regulations concerning spin maneuvers.

61–68 Flight Instructor Refresher Clinics—Scheduling, Attendance, Facilities, and Equipment (2–27–74).

Provides guidance to sponsors regarding scheduling, required facilities and equipment, and attendance control at Flight Instructor Refresher Clinics in which the Flight Instructor Refresher Unit (FIRU) participates.

61–70 Flight Instructor Instrument—Airplane—Written Test Guide (3–29–74).

Provides guidance for the applicant by outlining the scope of knowledge required for the Flight Instructor Certificate with an Instrument Airplane Rating. ($1.65 Supt. Docs.) SN 050–007–00252–1.

61–71A Commercial Pilot Airplane Written Test Guide (3–24–77).

Outlines the aeronautical knowledge requirements for a commerical pilot rating, outlines source material for study, and includes representative test items and illustrations used in the FAA written test. ($2.30 Supt. Docs.) SN 050–007–00385–4.

61–72A Flight Instructor—Airplane—Written Test Guide (3–24–77).

Outlines the aeronautical knowledge requirements for certification as an airplane flight instructor, outlines source material for study, and provides representative test questions for the FAA written test. ($2.70 Supt. Docs.) SN 050–007–00386–2.

61–73 Private and Commercial Pilot Rotorcraft—Helicopter Written Test Guide (8–8–74).

Assists applicants who are preparing for the Private or Commercial Pilot certificate with a Rotorcraft—Helicopter rating under the provisions of FAR Part 61 (revised). ($1.20 Supt. Docs.) SN 050–007–00265–3.

AC 61–74 Flight Instructor Rotorcraft—Helicopter Written Test Guide (5–8–74).

Assists applicants who are preparing for the Flight Instructor Certificate with a Rotorcraft—Helicopter Rating. ($1.45 Supt. Docs.) SN 050–007–00272–6.

AC 61–75 Flight Instructor—Glider—Written Test Guide (9–18–74).

Assists applicants who are preparing for the Flight Instructor—Glider Written Test. ($1.50 Supt. Docs.) SN 050–007–00271–8.

61–77 Airline Transport Pilot Airplane Practical Test Guide (Part 61 Revised) (4–23–74).

Designed to assist the applicant and his instructor in preparing for the Airline Transport Pilot Certificate with an Airplane Rating under FAR Part 61 (revised). ($0.50 Supt. Docs.) SN 050–007–00257–2.

61–81 Private and Commercial Pilot—Glider—Written Test Guide (4–27–76).

Contains a comprehensive study outline and a list of recommended study materials. Sample study questions and illustrations pertinent to the subject of glider flying are included ($1 Supt. Docs.) SN 050–007–00339–1.

61–82 Airline Transport Pilot—Helicopter—Flight Test Guide (8–25–76).

Describes procedures and maneuvers relevant to the ATP Certificate—Helicopter—that is limited to VFR and that which is not limited to VFR. Includes a suggested flight test checklist. ($0.80 Supt. Docs.) SN 050–007–00358–7.

61–83 Nationally Scheduled Federal Aviation Administration (FAA)-Approved, Industry-Conducted Flight Instructor Refresher Clinics (9–3–76).

Announces a concept pertaining to FAA-approved, industry-conducted Flight Instructor Refresher Clinics, outlines procedures for approval, and invites participation by interested industry groups.

61–84 Role of Preflight Preparation (4–11–77).

Provides guidance information on some elements of flight planning that should be considered in planning and conducting a safe, efficient flight.

63–1B Flight Engineer Written Test Guide (10–22–70).

Provides information to prospective flight engineers and others interested in this certification area. Contains information about certification requirements and describes the type and scope of the written test. Lists appropriate study and reference material and presents sample questions similar to those found in the official written tests. ($0.85 Supt. Docs.) SN 050–007–00164–9.

63–2A Flight Navigator Written Test Guide (4–4–69).

Defines the scope and narrows the field of study to the basic knowledge required for the Flight Navigator Certificate. Published in 1969. ($0.70 Supt. Docs.) SN 050–007–00064–2.

65–2D Airframe and Powerplant Mechanics Certification Guide (1–30–76).

Provides information to prospective airframe and powerplant mechanics and other persons interested in FAA certification of aviation mechanics. ($1.30 Supt. Docs.) SN 050–007–00331–5.

65–4B Aircraft Dispatcher Written Test Guide (7–25–72).

Describes the type and scope of aeronautical knowledge covered by the aircraft dispatcher written examination, lists reference materials, and presents sample questions. ($1.40 Supt. Docs.) SN 050–007–00190–8.

65–5A Parachute Rigger—Senior/ Master—Certification Guide (12–20–74).

Provides information on how to apply for a parachute rigger certificate or rating and assists the applicant in preparing for the written, oral, and practical tests. ($0.75 Supt. Docs.) SN 050–007–00287–4.

65–9A Airframe and Powerplant Mechanics—General Handbook (4–12–76).

Designed as a study manual for persons preparing for a mechanic certificate with airframe or powerplant ratings. Emphasis in this volume is on theory and methods of application, and is intended to provide basic information on principles, fundamentals, and airframe and powerplant ratings. ($6.75 Supt. Docs.) SN 050–007–00379–0.

65–11A Airframe and Powerplant Mechanics Certification Information (4–21–71).

Provides answers to questions most frequently asked about Federal Aviation Administration certification of aviation mechanics. ($0.40 Supt. Docs.) SN 050–007–00171–1.

65–12A Airframe and Powerplant Mechanics Powerplant Handbook (4–12–76).

Designed to familiarize student mechanics with the construction, theory of operation, and maintenance of aircraft powerplants. ($6.50 Supt. Docs.) SN 050–007–00373–1.

65–13B FAA Inspection Authorization Directory (11–26–76).

Provides a new directory of all FAA certificated mechanics who hold an inspection authorization as of July 31, 1976.

65–15A Airframe and Powerplant Mechanics Airframe Handbook (4–12–76).

Designed to familiarize student mechanics with airframe construction, repair, and the operating theory of airframe systems. ($6.00 Supt. Docs.) SN 050–007–00391–9.

65–18 Report Availability of a Survey of the Aviation Mechanics Occupation (9–4–74).

Announces the public availability of the 1974 report on a Survey of the Aviation Mechanics Occupation.

65–19A Inspection Authorization Study Guide (11–17–76).

Provides guidance for persons who conduct annual and progressive inspections and approve major repairs and/or alternations of aircraft. It stresses the importance that certificated mechanics, holding IA's, have in air safety. Primarily intended for mechanics who hold or are preparing to take the test for an inspection authorization. ($0.65 Supt. Docs.) SN 050–007–00332–3.

67–1 Medical Information for Air Ambulance Operators (3–4–74).

Provides persons or groups interested or involved in civil air ambulance activities with information governing the transport of patients by air.

67–2 Medical Handbook for Pilots (5–15–74).

An aviation medicine handbook written in pilots language that provides guidance on when, and when not, to fly. Emphasizes the fact that, to be a good pilot, you must be physically fit, psychologically sound, and well trained. Designed to complement the Pilots Handbook of Aeronautical Knowledge. ($1.45 Supt. Docs.) SN 050–007–00254–8.

Airspace

SUBJECT NO. 70

70–2A Airspace Utilization Considerations in the Proposed Construction, Alteration, Activation and Deactivation of Airports (12–26–76).

Advises those persons proposing to construct, alter, activate or deactivate a civil or joint-use (civil/military) airport, for which Federal aid has not been requested of the Federal Aviation Administration.

70/7460–1E Obstruction Marking and Lighting (11–1–76).

Describes FAA standards on obstruction marking and lighting and establishes the methods, procedures, and equipment types for both aviation red and high-intensity white obstruction lights.

70/7460–2E Proposed Construction or Alteration of Objects that may Affect the Navigable Airspace (7–5–73).

Advises those persons proposing to erect or alter an object that may affect the navigable airspace of the requirement to submit a notice to the Administrator of the Federal Aviation Administration (FAA).

70/7460–3 Petitioning the Administrator for Discretionary Review; Section 77.37, FAR (8–8–68).

Revises and updates information concerning the submission of petitions to the Administrator for review, extension, or revision of determinations issued by regional directors or their designees.

73–1 Establishment of Alert Areas (3–11–68).

Announces the establishment of alert areas and sets forth the procedures which FAA will follow in establishing such areas.

Air Traffic Control and General Operations

SUBJECT NO. 90

90–1A Civil Use of U.S. Government Produced Instrument Approach Charts (4–10–68).

Clarifies landing minimums requirements and revises instrument approach charts.

90–5 Coordination of Air Traffic Control Procedures and Criteria (6–13–63).

States Air Traffic Service policy respecting coordination of air traffic procedures and criteria with outside agencies and/or organizations.

90–12B Severe Weather Avoidance (6–18–76).

Warns all pilots concerning flight in the vicinity of known or forecasted severe weather, severe turbulence and hail and advises them that air traffic control facilities, even though equipped with radar, might not always have the capability nor be in a position to provide assistance for circumnavigation of areas of severe weather.

90–14A Altitude—Temperature Effect on Aircraft Performance (1–26–68).

Introduces the Denalt Performance Computer and reemphasizes the hazardous effects density altitude can have on aircraft.

90–23D Wake Turbulence (12–15–72).

Alerts pilots to the hazards of aircraft trailing vortex wake turbulence and recommends related operational procedures.

90–34 Accidents Resulting from Wheelbarrowing in Tricycle Gear Equipped Aircraft (2–27–68).

Explains "wheelbarrowing", the circumstances under which it is likely to occur, and recommended corrective action.

90–42A Traffic Advisory Practices at Nontower Airports (8–16–72).

Establishes, as good operating practices, procedures for pilots to be apprised of or exchange traffic information, when approaching or departing uncontrolled airports.

90–43C Operations Reservations for High-Density Traffic Airports (11–14–71).

Advises the aviation community of the means for all aircraft operators, except helicopters, scheduled and supplemental air carriers and scheduled air taxis, to obtain a reservation to operate to and/or from designated high-density traffic airports.

AC 90–45A Approval of Area Navigation Systems for Use in the U.S. National Airspace System (2–21–75).

Provides guidelines for implementation of two-dimensional area navigation (2D RNAV) within the U.S. National Airspace System (NAS). Provides for both VOR/DME dependent systems and self-contained systems such as Inertial Navigation Systems (INS).

90–45A Ch 1 (9–15–75).

90–45A Ch 2 (7–22–76).

90–48 Pilots' Role in Collision Avoidance (3–20–70).

Alerts all pilots to the midair collision and near midair collision hazard and to emphasize those basic problem areas of concern, as related to the human casual factors, where improvements in pilot education, operating practices, procedures, and techniques are needed to reduce midair conflicts.

AC 90–50A VHF Radio Frequency Assignment Plan for Aeronautical Operations (2–7–75).

Describes the civil air traffic control assignment of frequencies in the very high frequency (118–136 MHz) band.

90–54A Cruise Clearances (11–27–73).

Provides the aviation community guidance when operating under a "cruise" clearance.

90–58C VOR Course Errors Resulting from 50 kHz Channel Mis-Selection (4–7–75).

Provides information concerning a potentially hazardous situation when a 200 channel VOR receiver is inadvertently mistuned by 50 kHz from the frequency of a 100 kHz ground station.

90–60 Weather Observation Reporting Obscured or Partially Obscured Sky Condition (3–31–72).

Provides pilots with information concerning weather conditions reported by weather observers as obscuration or partial obscuration.

90–62 Flying DME Arcs (1–23–73).

Describes the procedures and techniques for intercepting DME arcs from radials, maintaining DME arcs, and intercepting radials and localizers from DME arcs.

90–64 Automated Radar Terminal System (ARTS) III (6–22–73).

Advises the aviation community of the capabilities of the Automated Radar Terminal System and the associated services provided by ARTS III equipped air traffic control facilities.

90–65 Air Traffic Fuel Economy Program (1–18–74).

Advises the aviation community of flow control procedures that will be utilized to conserve aviation fuel during periods when the normal movement of aircraft is disrupted. Also describes actions required of user groups to ensure efficient flow control planning.

AC 90–66 Recommended Standard Traffic Patterns for Airplane Operations at Uncontrolled Airports (2–27–75).

Calls attention to regulatory requirements for the operations of airplanes at uncontrolled airports. Recommends voluntary use of standard traffic pattern flight procedures.

90–67 Light Signals from the Control Tower for Ground Vehicles, Equipment, and Personnel (8–15–75).

Provides the aviation community with the meaning of the light signals used when communicating with ground vehicles, equipment, and personnel on the airport movement area from the control tower.

90–70 Straight-In Nonprecision Instrument Approach Procedures Visual Descent Point (VDP) (7–7–76).

Describes the concept, purpose, and use of a designated and published VDP to be provided on some straight-in nonprecision instrument approach procedures.

90–72 Minimum Safe Altitude Warning (MSAW) (11–30–76).

Describes the capabilities and limitations of the MSAW function being implemented at terminal facilities equipped with ARTS III.

90–73 Local Flow Traffic Management (1–13–77).

Describes new arrival procedures for ATC handling of high-performance aircraft.

90–74 Announcing the Availability of United States Terminal Instrument Procedures (TERPS) (2–4–77).

Announces the availability to the public of the Third Edition of the U.S. Standard for Terminal Instrument Procedures which is available from the Supt. of Docs. for $2.80. SN 050–007–00345–5.

90–75 Strobe Light System Inspection Practices (2–10–77).

Advises the general aviation community of the importance of proper maintenance of capacitive discharge strobe light systems which are installed within or near fuel systems.

90–76 Flight Operations in Oceanic Airspace (4–15–77).

Describes the basic requirements, limitations, and considerations applicable to flight proposed into oceanic airspace under U.S. ATC jurisdiction.

91–5B Waivers of Subpart B, Part 91 of the Federal Aviation Regulations (FARs) (1–28–72).

Provides information concerning the submission of applications for and the issuance of waivers of Subpart B, FAR Part 91.

91–6 Water, Slush, and Snow on the Runway (1–21–65).

Provides background and guidelines concerning the operation of turbojet aircraft with water, slush, and/or snow on the runway.

91–8A Use of Oxygen by General Aviation Pilots/Passengers (8–11–70).

Provides general aviation personnel with information concerning the use of oxygen.

91–9 Potential Hazards Associated With Turbojet Ground Operations (6–19–65).

Alerts turbojet operators and flight crews to potential hazards involving turbojet operations at airports.

91–11A Annual Inspection Reminder (12–3–69).

Provides the aviation community with a uniform visual reminder of the date an annual inspection becomes due. (Reference section 91.169(a)(1) of the FAR's.)

91.11–1 Guide to Drug Hazards in Aviation Medicine (7–19–63).

Lists all commonly used drugs by pharmacological effect on airmen with side effects and recommendations. Reprinted 1970. ($1.15 Supt. Docs.) SN 050–009–00001–7.

91–13A Cold weather Operation of Aircraft (1–2–70).

Provides background and guidelines relating to operation of aircraft in the colder climates where wide temperature changes may occur.

91–14B Altimeter Setting Sources (10–1–71).

Provides the aviation public, industry, and FAA filed personnel with guidelines for setting up reliable altimeter setting sources.

91–15 Terrain Flying (2–2–67).

A pocket-size booklet designed as a tool for the average private pilot. Contains a composite picture of the observations, opinions, warnings, and advice from veteran pilots who have flown this vast land of ours that can help to make flying more pleasant and safer. Tips on flying into Mexico, Canada, and Alaska. ($1.40 Supt. Docs.) SN 050–007–00147–9.

91–16 Category II Operations—General Aviation Airplanes (8–7–67).

Sets forth acceptable means by which Category II operations may be approved in accordance with FAR Parts 23, 25, 61, 91, 97, and 135.

91–17 The Use of View Limiting Devices on Aircraft (2–20–68).

Alerts pilots to the continuing need to make judicious and cautious use of all view limiting devices on aircraft.

91–22A Altitude Alerting Devices/Systems (12–23–71).

Provides guidelines for designing, installing, and evaluating altitude alerting systems.

91–23 Pilot's Weight and Balance Handbook (5–6–69).

Provides an easily understood text on aircraft weight and balance for pilots who need to appreciate the importance of weight and balance control for safety of flight. Progresses from an explanation of basic fundamentals to the complete application of weight and balance principles in large aircraft operations. ($1.25 Supt. Docs.) SN 050–011–00049–6.

91–24 Aircraft Hydroplaning or Aquaplaning on Wet Runways (9–4–69).

Provides information to the problem of aircraft tires hydroplaning on wet runways.

91–25A Los of Visual Cues During Low Visibility Landings (6–22–72).

Provides information concerning the importance of maintaining adequate visual cues during the descent below MDA or DA.

91–26 Maintenance and Handling of Air-Driven Gyroscopic Instruments (10–29–69).

Advises operators of general aviation aircraft of the need for proper maintenance of air-driven gyroscopic instruments and associated air filters.

91–28 Unexpected Opening of Cabin Doors (12–23–69).

Outlines the importance of assuring that cabin doors are properly closed prior to takeoff.

91–32 Safety in and Around Helicopters (5–7–71).

Provides suggestions to improve helicopter safety by means of acquainting nonflight crew personnel and passengers with the precautions and procedures necessary to avoid undue hazards.

91–33 Use of Alternate Grades of Aviation Gasoline for Grade 80/87 (10–6–71).

Provides information relating to the use of alternate grades of aviation gasoline when grade 80/87 is not available, and the resultant effects of the use of the alternate fuels which may have higher TEL (tetraethyl lead) content.

91–34 Model Aircraft Operating Standards (7–1–72).

Outlines safety standards for operators of model aircraft, and encourages voluntary compliance with these standards.

91–35 Noise, Hearing Damage, and Fatigue in General Aviation Pilots (3–28–72).

Aquaints pilots with the hazards of regular exposure to cockpit noise. Especially pertinent are piston-engine, fixed-wing, and rotary-wing aircraft.

91–36A VFR Flight Near Noise-Sensitive Areas (7–9–74).

Encourages pilots making VFR flights near noise-sensitive areas to fly at altitudes higher than the minimum permitted by regulation. National Park areas now included.

91–37 Truth in Leasing (11–9–72).

Provides information and guidance for leasees and conditional buyers of U.S. registered large civil aircraft.

91–38 Large and Turbine-Powered Multiengine Airplanes, Part 91, Subpart D (12–13–72).

Sets forth guidelines and procedures to assist operators of large and turbine-powered multiengine airplanes in meeting the safety requirements of FAR, Part 91, Subpart D.

91–39 Recommended Noise Abatement Takeoff and Departure Procedure for Civil Turbojet Powered Airplanes (1–18–74).

Illustrates the recommended noise abatement takeoff and departure procedure for civil turbojet powered airplanes.

91–40 Terminal Control Area (TCA) Radar Outage (1–17–74).

Explains the service that will be provided by Air Traffic Control to aircraft in a terminal control area when a radar outage occurs.

91–41 Ground Operational Procedures for Aircraft Engine Emission Reduction and Fuel Conservation (3–12–74).

Recommends ground operational procedures that will minimize air pollution from aircraft ground operations and conserve fuel.

AC 91–42A Hazards of Rotating Propellers and Helicopter Rotor Blades (10–19–76).

Provides information on propeller- and rotor-to-person accidents and offers suggestions to reduce the frequency of their occurrence.

AC 91–43 Unreliable Airspeed Indications (6–26–75).

Alerts pilots to the possibility of erroneous airspeed/Mach indications that may be caused by blocking or freezing of the pitot system and advises of corrective action that can be taken.

91–44 Emergency Locator Transmitters Operational and Maintenance Practices (2–20–76).

Provides guidelines relative to the installation, maintenance, and operation of emergency locator transmitters.

91–45A Airshow Waivers (5–16–77).

The purpose of this advisory circular is to provide prospective airshow sponsors with the information necessary to plan for and conduct safe, effective airshows. It is also intended to provide information pertaining to the procedures and requirements for issuance of airshow waivers.

91–46 Gyroscopic Instruments—Good Operating Practices (2–4–77).

Issued to re-emphasize to general aviation instrument-rated pilots the need to determine the proper operation of gyroscopic instruments, the importance of instrument cross-checks and proficiency in partial-panel operations.

91–47 Use of Portable Electronic Devices—Radio Receivers (3–23–77).

Intended to remind air carrier or commercial operators of the requirements of FAR 91.19 as they apply to pocket size radio receivers capable of reception in the 110–140 MHz band.

91.29–1 Special Structural Inspections (1–8–68).

Discusses occurrences which may cause structural damage affecting the airworthiness of aircraft.

91.79–1 Waivers of Section 91.79 of the Federal Aviation Regulations (4–21–76).

Announces the availability of waivers relating to FAR 91.79 and requests that interested persons contact any General Aviation District Office or Flight Standards District Office for specific information.

91.83–1A Canceling or Closing Flight Plans (3–25–75).

Outlines the need for canceling or closing flight plans promptly to avoid costly search and rescue operations.

91.83–2 IFR Flight Plan Route Information (2–16–66).

Clarifies the air traffic control needs for the filing of route information in an IFR (Instrument Flight Rules) flight plan.

95–1 Airway and Route Obstruction Clearance (6–17–65).

Advises all interested persons of the airspace areas within which obstruction clearance is considered in the establishment of Minimum En Route Instrument Altitudes (MEA's) for publication in FAR Part 95.

97–1 Runway Visual Range (RVR) (11–4–76).

Describes RVR measuring equipment and its operating use.

99–1 Security Control of Air Traffic (1–12–72).

Provides civil aviation with recommended practices for operating aircraft within or penetrating an Air Defense Identification Zone (ADIZ).

101–1 Waivers of Part 101, Federal Aviation Regulations (1–13–64).

Provides information on submission of applications and issuances of waivers to FAR Part 101.

103–2 Information Guide for Air Carrier Handling of Radioactive Materials (7–23–70).

Acquaints air carrier industry and in particular, air freight handling personnel, with the essential requirements and practical application of the various regulations pertaining to the handling and transportation of radioactive materials.

103–4 Hazard Associated with Sublimation of Solid Carbon Dioxide (Dry Ice) Aboard Aircraft (5–1–74).

Discusses the potential hazard associated with the sublimation of dry ice aboard aircraft. Precautionary measures and simple rules of thumb are indicated in order to preclude environmentally hazardous conditions affecting crews and passengers aboard aircraft.

105–2 Sport Parachute Jumping (9–6–68).

Provides suggestions to improve sport parachuting safety; information to assist parachutists in complying with FAR Part 105; and a list of aircraft which may be operated with one cabin door removed, including the procedures for obtaining FAA authorization for door removal.

107–1 Aviation Security—Airports (5–19–72).

Furnishes guidance to those individuals and organizations having responsibilities under Part 107 of the Federal Aviation Regulations. It also provides recommendations for establishing and improving security for restricted or critical facilities and areas the security of which is not dealt with in Part 107.

Air Carrier and Commercial Operators and Helicopters

SUBJECT No. 120

120–2A Precautionary Propeller Feathering To Prevent Runaway Propellers (8–20–63).

Emphasizes the need for prompt feathering when there is an indication of internal engine failure.

120–5 High Altitude Operations in Areas of Turbulence (8–26–63).

Recommends procedures for use by jet pilots when penetrating areas of severe turbulence.

120–7A Minimum Altitudes for Conducting Certain Emergency Flight Training Maneuvers and Procedures (7–27–70).

Issued to emphasize to all air carriers and other operators of large aircraft the necessity for establishing minimum altitudes above the terrain or water when conducting certain simulated emergency flight training maneuvers.

120–12 Private Carriage Versus Common Carriage by Commercial Operators Using Large Aircraft (6–24–64).

Provides guidelines for determining whether current or proposed transportation operations by air constitute private or common carriage.

120–16A Continuous Airworthiness Program (9–11–69).

Provides air carriers and commercial operators with guidance and information pertinent to certain provisions of Federal Aviation Regulations Parts 121 and 127.

120–17 Handbook for Maintenance Control by Reliability Methods (12–31–64).

Provides information and guidance materials which may be used to design or develop maintenance reliability programs which include a standard for determining the time limitations.

120–17 CH1 (6–24–66).

120–17 CH2 (5–6–68).

120–26D Civil Aircraft Operator Designators (11–11–76).

Revises the criteria and states the procedures for the assignment of International Civil Aviation Organization two-letter and FAA three-letter aircraft company designators.

120–27 Aircraft Weight and Balance Control (10–15–68).

Provides a method and procedures for weight and balance control.

120–27 CH1 (11–20–73).

Adds Part 123 to subject circular.

120–28A Criteria for Approval of Category IIIa Landing Weather Minima (12–14–71).

States an acceptable means, not the only means, for obtaining approval of Category IIIa minima and the installation approval of the associated airborne systems.

120–28A CH1 (1–18–73).

Revises the CAT IIIa Landing Weather Minima maintenance requirements of paragraph 8 to make them consistent with the requirements for CAT IIa.

120–29 Criteria for Approving Category I and Category II Landing Minima for FAR 121 Operators (9–25–70).

Sets forth criteria used by FAA in approving turbojet landing minima of less than 300–¾ or RVR 4,000 (Category I) and Category II minima for all aircraft.

120–29 CH 1 (12–15–71).

Revises Appendix 1 and deletes statement in Appendix 2 regarding 19-foot criteria (does not apply when using an approved automatic landing system).

120–29 CH 2 (7–26–72).

Clarifies the airborne system evaluation by stressing the necessity for meeting maintenance program requirements.

120–29 CH 3 (12–3–74).

Outlines the recent change in FAR Part 121 wherein both initial and recurrent pilot qualification for both Category I and II proficiency checks may be performed in a visual simulator.

120–30A Reporting Requirements of Air Carriers, Commercial Operators, Travel Clubs, and Air Taxi Operators of Large and Small Aircraft (9–8–76).

This advisory circular is issued to clarify the mechanical reliability reporting requirements contained in Parts 121, 127, and 135 of the Federal Aviation Regulations (FAR) and the accident and incident reporting requirements of Part 830 (old Part 430) of the National Transportation Safety Board (NTSB), Safety Investigation Regulations.

120–31A Operational and Airworthiness Approval of Airborne Omega Radio Navigation Systems as a Means of Updating Self-Contained Navigation Systems (4–21–77).

Sets forth an acceptable means, but not the only means, of obtaining airworthiness and operational approval of airborne OMEGA navigation systems used in updating self-contained navigation systems such as Doppler Radar and Inertial for operations outside the United States under FAR Part 121.

120–32 Air Transportation of Handicapped Persons (3–25–77).

Identifies some of the problems handicapped air travelers face and provides some guidelines to airline personnel to help alleviate these problems.

121–1A Standard Operations Specifications—Aircraft Maintenance Handbook (6–26–73).

Provides procedures acceptable to the Federal Aviation Administration which may be used by operators when establishing inspection intervals and overhaul times.

121–1A CH 1 (1–23–75).

Updates the overhaul and inspection/check period of selected airframes, powerplants, propellers, and appliances in relation to current industry standards.

121–1A CH 2 (8–19–76).

121–1A CH 3 (2–18–77).

121–3Q Maintenance Review Board Reports (9–3–76).

Revises the list of Maintenance Review Board Reports that are currently in effect.

121–6 Portable Battery-Powered Megaphones (1–5–66).

Sets forth an acceptable means for complying with rules (applicable to various persons operating under Part 121 of the Federal Aviation Regulations) that prescribe the installation of approved megaphones.

121–12 Wet or Slippery Runways (8–17–67).

Provides uniform guidelines in the application of the "wet runway" rule by certificate holders operating under FAR 121.

121–13 Self-Contained Navigation Systems (Long Range) (10–14–69).

States an acceptable means, not the only means, of compliance with the referenced sections of the FAR as they apply to persons operating under Parts 121 or 123 who desire approval of Doppler RADAR navigation systems or Inertial Navigation Systems (INS) for use in their operations.

121–13 CH 1 (7–31–70).

Assures standardization of the Minimum Equipment List (MEL) with respect to Inertial Navigation Systems (INS) through the appropriate Flight Operations Evaluation Board (FOEB).

121–13 CH 2 (12–21–70).

Permits all flight training for Doppler and INS qualification, to be completed in a simulator or training device approved for conducting the required pilot training and qualifications in the use of these systems.

121–14A Aircraft Simulator Evaluation and Approval (2–9–76).

Sets forth one means that would be acceptable to the Administrator for approval of aircraft simulators or other training devices requiring approval under FAR 121.407.

121–16 Maintenance Certification Procedures (11–9–70).

Provides guidance for the preparation of an Operations Specification—Preface Page which will afford nominal and reasonable relief from approved service and overhaul time limits when a part is borrowed from another operator.

121–17 Aviation Security: Certain Air Carriers and Commercial Operators—Security Programs and Other Requirements (3–14–72).

Provides general information regarding the requirements of FAR Amdt. 121–85.

121–18 Aviation Security—Carriage of Weapons and Escorted Persons (7–15–75).

Provides information and guidance for the implementation of amendments to FAR Part 121 regarding the carriage of weapons on aircraft and for the carriage of persons in the custody of law enforcement officers.

121–19 Aviation Security—Property Acceptance and Handling Procedures—Indirect Air Carriers (3–17–76).

Provides information and guidance which may be used by "indirect air carriers" when providing property to be carried by "direct air carriers" or by the operator of any civil aircraft for transportation in air commerce.

121–20 Aviation Security: Supplemental Air Carriers (3–17–76).

Provides supplemental air carriers with information concerning recommended general security measures applicable to charter operations that should minimize the effects of crimes directed against air transportation.

121–21 Information Guide for Training Programs and Manual Requirements in the Air Transportation of Hazardous Materials (7–30–76).

Provides certificate holders under Parts 121 and 135 of the FARs with information relevant to recent amendment Docket HM–112 that incorporated FAR Part 103 into Title 49 of the CFR as Part 175. Outlines some of the substantive changes in the requirements for air transportation of hazardous materials.

121–22 Maintenance Review Board (MRB) (1–12–77).

Provides guidelines for establishing and conducting a MRB on newly manufactured aircraft, powerplant, or appliance to be used in air carrier service.

121–23 Preparation and Loading of Magnetron Tubes and Magnetic Materials for Air Shipments (2–10–77).

Provides information regarding the preparation and loading of magnetron tubes and magnetic materials for shipment in civil aircraft.

121.195(d)–1 Alternate Operational Landing Distances for Wet Runways; Turbojet Powered Transport Category Airplanes (11–19–65).

Sets forth an acceptable means, but not the only means, by which the alternate provision of section 121.195(d) may be met.

123–1 Air Travel Clubs (10–17–68).

Sets forth guidelines and procedures to assist air travel clubs using large aircraft in meeting safety requirements of FAR Part 123.

129–1 Foreign Air Carriers—Security Programs and Other Requirements—FAR Par 129 (9–25–75).

Provides guidance to foreign air carriers concerning the requirements of FAR Part 129, Sections 129.25 and 129.27.

135.144–1 Small Propeller-Driven Air Taxi Airplanes That Meet Section 135.144 (4–13–72).

Provides a summary of and information on small propeller-driven air taxi airplanes that comply with section 135.144 and may continue operations under FAR Part 135 after May 31, 1972, with 10 or more passenger seats.

135.155–1 Alternate Static Source for Altimeters and Airspeed and Vertical Speed Indicators (2–16–65).

Sets forth an acceptable means of compliance with provision in FAR Part 135 and Part 23 dealing with alternate static courses.

135–1C Air Taxi Aircraft Weight and Balance control (2–10–77).

Provides the procedures for developing a weight and balance control system for small aircraft operating in the air taxi fleet under FAR Part 135.

135–2A Air Taxi Operators of Large Aircraft (11–16–73).

Provides guidelines for use by air taxi operators or applicants who desire to obtain authorization to operate large aircraft (more than 12,500 pounds maximum certificated takeoff weight) in air taxi operations.

135–3A Air Taxi Operators and Commercial Operators of Small Aircraft (1–16–75).

Sets forth guidelines and procedures to assist persons in complying with the requirements of Federal Aviation Regulations, Part 135.

135–4A Aviation Security: Air Taxi Commercial Operators (ATCO) 4–15–76).

Provides recommended security measures applicable to ATCO operations that should minimize the effects of crimes directed against air transportation.

135–5A Maintenance Program Approval for Carry-On Oxygen Equipment for Medical Purposes (11–23–76).

Provides a means whereby air taxi operators may submit a maintenance program to comply with FAR Part 135, Section 135.114.

137–1 Agricultural Aircraft Operations (11–29–65).

Explains and clarifies the requirements of FAR Part 137 and provides additional information, not regulatory in nature, which will assist interested persons in understanding the operating privileges and limitations of this Part.

139.12–1 Airport Operations Specifications (2–3–75).

Presents guidelines to assist airport operators in developing airport operations specifications in compliance with the requirements of amended FAR Part 139.

139.49–1 Programs for Training of Fire Fighting and Rescue Personnel (11–12–74).

Outlines suggested training programs for airport fire fighting and rescue personnel involved in operating airport fire

fighting and rescue equipment and the principles of aircraft fire fighting and rescue techniques.

Schools and Other Certificated Agencies

SUBJECT NO. 140

140–1H Consolidated Listing of FAA Certificated Repair Stations (2–9–76).

Provides a revised directory of all FAA certificated repair stations as of December 31, 1975.

140–2K List of Certificated Pilot Schools (4–25–77).

Provides a list of FAA certificated pilot flight and ground schools as of Nov. 1976.

140–3B Approval of Pilot Training Courses Under Subpart D of Part 141 of the FAR (1–8–70).

The title is self-explanatory.

140–5 Radio Maintenance Technician School Curriculum (8–11–71).

Provides information on curriculum subjects for persons desiring to establish radio maintenance technician training courses.

141–1 Pilot School Certification (8–29–74).

Sets forth guidelines to assist persons in obtaining a pilot school certificate and associated ratings under FAR Part 141 (revised).

141–2A Written Tests Prepared by Pilot Schools With Examining Authority Under Part 141 (Revised) of the Federal Aviation Regulations (10–3–75).

Provides guidance to FAR Part 141 Pilot Schools with examining authority in developing final written tests for FAA certificates and ratings which are equal in scope, depth, and difficulty to comparable written tests prescribed by the Administrator. Also prescribes procedures for administering, maintaining security of, and replacing those tests.

143–1E Ground Instructor Written Test Guide–Basic & Advanced (1–24–77).

Outlines the scope of basic knowledge requirements for a ground instructor; outlines source material to obtain this knowledge; presents a sample test with answers and explanations. ($2.00 Supt. Docs.) SN 050–007–00382–0.

143–2C Ground Instructor—Instrument—Written Test Guide (1–30–76).

Provides information to applicants for the instrument ground instructor rating about the subject areas covered in the examination and illustrated by a study outline, a list of study materials, and a sample examination with answers. ($1.40 Supt. Docs.) SN 050–007–00376–5.

145–2 Repair Station Limited Ratings Beech 18 Series Aircraft (4–21–76).

Advises of a required limited repair station rating to perform X-ray inspection of the Beech 18 wing and center section spar, and of the procedures for application.

145.101–1A Application for Air Agency Certificate—Manufacturer's Maintenance Facility (3–10–69).

Explains how to obtain a repair station certificate.

147–2R Directory of FAA Certificated Aviation Maintenance Technician Schools (4–12–77).

Provides a revised directory of all FAA certificated aviation maintenance technician schools as of Nov. 1976.

147–3 Phase III, A National Study of the Aviation Mechanics Occupation (3–22–71).

Announces the availability for purchase by the public of a reprint of a report of Phase III, A National Study of the Aviation Mechanics Occupation.

147–4 Reports Availability of a Survey of Text Materials Used in Aviation Maintenance Technician Schools (9–3–74).

Announces the public availability of the 1974 report on A Survey of Test Materials Used in Aviation Maintenance Technician Schools.

149–2H Listing of Federal Aviation Administration Certificated Parachute Lofts (5–10–76).

Provides a revised listing of all FAA certificated parachute lofts as of Jan. 31, 1976.

Airports

SUBJECT NO. 150

AIRPORT PLANNING

150/5000–1 Cancellation of Obsolete Publications Issued by Standards Division, Airports Service (4–17–70).

Cancels outstanding airport engineering data sheets, technical standard orders, airport engineering bulletins, and miscellaneous publications that are no longer current and to direct the reader to a new source of information, where applicable.

150/5000–3C Address List for Regional Airports Divisions and Airport District Offices (12–9–75).

Transmits the address list for all regional Airports Divisions and Airport District Offices.

150/5000–3C CH 1 (9–9–76).

Transmits corrected addresses and telephone numbers.

150/5050–2 Compatible Land Use Planning in the Vicinity of Airports (4–13–67).

Advises Federal Aviation Administration personnel, local government officials and the public of the availability of the following two reports prepared under the auspices of the FAA by the firm of Transportation Consultants, Inc. *Compatible Land Use Planning On and Around Airports, and Aids Available for Compatible Land Use Planning Around Airports.*

150/5050–3A Planning the State Airport System (June 1972).

Provides general guidance in preparing a State airport system plan. ($2.50 Supt. Docs.) SN 050–007–00184–3.

150/5050–4 Citizen Participation in Airport Planning (9–26–75).

Provides guidance for citizen involvement in airport planning. Although not mandatory for airport grant programs, it demonstrates the need for early citizen participation.

150/5050–5 The Continuous Airport System Planning Process (11–28–75).

The purpose of this advisory circular is to provide guidance on the Continuous Airport System Planning Process (CASPP). This process is utilized in establishing a planning capability to monitor and assess the effects of changes in the many variables and issues influencing a plan with the objective of maintaining a plan responsive to current and forecast conditions. In addition to describing the components of a CASPP, sponsor organizational structures and Federal financial participation in continuous planning activities are discussed.

150/5060–1A Airport Capacity Criteria Used in Preparing the National Airport Plan (7–8–68).

Presents the method used by the Federal Aviation Administration for determining when additional runways, taxiways, and aprons should be recommended in the National Airport Plan. The material is also useful to sponsors and engineers in developing Airport Layout Plans and for determining when additional airport pavement facilities should be provided to increase aircraft accommodation capacity at airports.

150/5060–3A Airport Capacity Criteria Used in Long-Range Planning (12–24–69).

Describes the method used by the Federal Aviation Administration for determining the approximate practical hourly and practical annual capacities of various airport runway configurations and is used in long-range (10 years or more) planning for expansion of existing airports and construction of new airports to accommodate forecast demand.

150/5060–4 Announcement of Availability—Federal Aviation Administration Technical Reports on Airport Capacity and Aircraft Delay (4–29–77).

Announces the availability of Federal Aviation Administration technical reports and computer programs describing techniques for determining airport capacity and aircraft delay. Provides ordering information.

150/5070–3 Planning the Airport Industrial Park (9–30–65).

Provides guidance to communities, airport boards, and industrial developers for the planning and development of Airport Industrial Parks.

150/5070–5 Planning the Metropolitan Airport System (5–22–70).

Gives guidance in developing airport-system plans for large metropolitan areas. It may be used by metropolitan planning agencies and their consultants in preparing such system plans and by

the FAA in reviewing same. ($1.65 Supt. Docs.) SN 050–008–00003–7.

150/5070–6 Airport Master Plans (2–5–71).

Provides guidance for the preparation of individual airport master plans as provided for under the Airport Airway Development Act of 1970. ($3.00 Supt. Docs.) SN 050–008–00004–5.

150/5090–2 National Airport Classification System (Airport System Planning) (6–25–71).

Sets forth the new national airport classification system. The system is designed for use in the identification and classification of airports within the National System of Airports and for use as a planning tool in long-range airport system planning.

FEDERAL-AID AIRPORT PROGRAMS

150/5100–3A Federal-aid Airport Program-Procedures Guide for Sponsors (9–20–68).

Provides guidance to public agencies that sponsor or propose to sponsor projects under the Federal-aid Airport Program (FAAP) authorized by the Federal Airport Act.

150/5100–3A CH I (11–28–69).

Transmits revised pages to subject advisory circular.

150/5100–6A Labor Requirements for Airport Development Aid Program (ADAP) Contracts (1–31–73).

Covers the basic labor requirements for the Airport Development Aid Program.

150/5100–6A CH 1 (3–16–73).

Transmits a revision to delete page 3–1 from subject Advisory Circular.

150/5100–7A Requirement for Public Hearing in the Airport Development Aid Program (2–25–72).

Provides guidance to sponsors of airport development projects under the Airport Development Aid Program (ADAP) on the necessity for and conduct of public hearings.

150/5100–8 Request for Aid; Displaced Persons; Public Hearings; Environmental Considerations; Opposition to the Project (1–19–71).

Provides general guidance on the information and coordination required in support of a request for aid for an airport development project under the Airport and Airway Development Act of 1970.

150/5100–9 Engineering Services Under the Airport Development Aid Program (ADAP) (7–1–72). Consolidated reprint March 1977 includes Change 1.

Provides guidance for airport sponsors and Federal Aviation Administration offices in the definition, selection, review, and approval of engineering services used under subject program.

150/5100–10A Accounting Records Guide for Airport Aid Program Sponsors (4–13–76).

This advisory circular sets forth recordkeeping requirements imposed on sponsors of Airport Development Aid Program (ADAP) and the Planning Grant Program (PGP) projects by the Airport and Airway Development Act of 1970, as amended. In addition, the Federal Aviation Regulations (FARs) require a sponsor to establish and maintain a financial management system that meets the standards set forth in FAR 152, Appendix K. This circular provides detailed explanations of these requirements.

150/5100–11 Land Acquisition and Relocation Assistance Under the Airport Development Aid Program (2–10–75).

Provides guidance to sponsors of airport development projects under the Airport Development Aid Program to meet the requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, (Public Law 91–646).

150/5100–12 Electronic Navigational Aids Approved for Funding Under the Airport Development Aid Program (9–20–76).

Provides a list of the electronic navigational aids equipment which are approved for funding under the ADAP.

150/5100–13 Development of State Standards for General Aviation Airports (3–1–77).

Provides guidelines and programming procedures for the development of state standards for general aviation airports as provided for in the Airport and Airway Development Act Amendments of 1976.

SURPLUS AIRPORT PROPERTY CONVEYANCE PROGRAMS

150/5150–2A Federal Surplus Personal Property for Public Airport Purposes (8–3–73).

Acquaints public airport owners and other interested parties with the Federal Surplus Personal Property Program for public airports and to outline procedures to be used in applying for and acquiring surplus personal property for this purpose.

150/5150–2A CH I (2–21–74).

Adds material to paragraph 24, Chapter 6, which was inadvertently omitted in the Advisory Circular during preparation.

AIRPORT COMPLIANCE PROGRAM

150/5190–1 Minimum Standards for Commercial Aeronautical Activities on Public Airports (8–18–66).

Gives to owners of public airports information helpful in the development and application of minimum standards for commercial aeronautical activities.

150/5190–2A Exclusive Rights at Airports (4–4–72).

Makes available to public airport owners, and to other interested persons, basic information and guidance on FAA's policy regarding exclusive rights at public airports on which Federal funds, administered by FAA, have been expended.

150/5190–2A CH 1 (10–2–72).

Deletes the reference to the sale of aeronautical charts by the National Ocean Survey (formerly the U.S. Coast and Geodetic Survey) and to encourage airport owners to obtain UNICOM license in their own names and make these facilities available to all fixed base operators.

150/5190–3A Model Airport Hazard Zoning Ordinance (9–19–72).

Provides a model airport hazard zoning ordinance for airports. The model ordinance is intended merely as a guide to control manmade and natural hazards to aircraft and will require modifications and revisions to meet the varying circumstances and the state and local laws.

AIRPORT SAFETY—GENERAL

150/5200–3A Bird Hazards to Aircraft (3–2–72).

Transmits to the aviation public the latest published information concerning the reduction of bird strike hazards to aircraft in flight and in the vicinity of airports.

150/5200–4 Foaming of Runways (12–21–66).

Discusses runway foaming and suggests procedures for providing this service.

150/5200–5 Considerations for the Improvement of Airport Safety (2–2–67).

Emphasizes that, in the interest of accident/incident prevention, airport management should conduct self-evaluations and operational safety inspections. An exchange of information and suggestions for the improvement of airport safety is also suggested.

150/5200–6A Security of Aircraft at Airports (6–28–68).

Directs attention to the problem of pilferage from aircraft on airports and suggests action to reduce pilferage and the hazards that may result therefrom.

150/5200–7 Safety on Airports During Maintenance of Runway Lighting (1–24–68).

Points out the possibility of an accident occurring to airport employees caused by electrocution.

150/5200–8 Use of Chemical Controls to Repel Flocks of Birds at Airports (5–2–68).

Acquaints airport operators with new recommendations on the use of chemical methods for dispersing flocks of birds.

150/5200–9 Bird Reactions and Scaring Devices (6–26–68).

Transmits a report on bird species and their responses and reactions to scaring devices.

150/5200–11 Airport Terminals and the Physically Handicapped (11–27–68).

Discusses the problems of the physically handicapped air traveler and suggests features that can be incorporated in modification or new construction of airport terminal buildings.

150/5200–12 Fire Department Responsibility in Protecting Evidence at the Scene of an Aircraft Accident (8–7–69).

Furnishes general guidance for employees of airport management and other personnel responsible for firefighting and rescue operations, at the scene of an aircraft accident, on the proper presentation of evidence.

150/5200–13 Removal of Disabled Aircraft (8–27–70).

Discusses the responsibility for disabled aircraft removal and emphasizes the need for prearranged agreements, plans, equipment, and improved coordination for the expeditious removal of disabled aircraft from airport operating areas. It also illustrates some of the various methods used, equipment employed, equipment available, and concepts for aircraft recovery.

150/5200–14 Results of 90-Day Trial Exercise on Fire Department Activity (9–8–70).

Transmits statistical data collected during a 90-day trial exercise conducted to determine the relationship between aircraft fire and rescue service activities and airport aeronautical operations.

150/5200–15A Availability of the International Fire Service Training Association's (IFSTA) Aircraft Fire Protection and Rescue Procedures Manual (5–4–77).

Announces the availability of the subject manual.

150/5200–16 Announcement of Report AS–71–1 "Minimum Needs for Airport Fire Fighting and Rescue Services" Dated January 1971 (4–13–71).

Announces the availability of the subject report and describes how to get it.

150/5200–17 Emergency Plan (2–5–72).

Contains guidance material for airport management to use in developing an emergency plan at civil airports.

150/5200–17 CH–1 (6–28–74).

Provides additional guidance on care and services for uninjured aircraft passengers.

150/5200–18 Airport Safety Self-Inspection (2–5–72).

Suggests functional responsibility, procedures, a checklist, and schedule for an airport safety self-inspection.

150/5200–19 Availability of Report No. FAA–RD–71–20 "An Analysis of Airport Snow Removal and Ice Control" dated March 1971 (11–23–71).

Announces the availability of subject report.

150/5200–21 Announcing the Availability of U.S. Air Force Technical Order (T.O. 00–105–9) Aircraft Emergency Rescue Information (5–23–73).

Explains the nature of the Technical Order and tells how it can be obtained by airport fire departments which are under the Airport Certification Program.

150/5200–22 Announcing the Availability of the International Civil Aviation Organization Airport Services Manual, DOC–9137–AN/898, Part 3, Bird Control and Reduction (3–16–76).

Announces the availability of the manual, explains its purpose, and tells how to obtain copies.

150/5200–23 Airport Snow and Ice Control (11–1–76).

Provides guidance to assist airport owners/operators to establish or improve airport snow and ice control programs.

150/5210–2 Airport Emergency Medical Facilities and Services (9–3–64).

Provides information and advice so that airports may take specific voluntary preplanning actions to assure at least minimum first-aid and medical readiness appropriate to the size of the airport in terms of permanent and transient personnel.

150/5210–5 Painting, Marking, and Lighting of Vehicles Used on an Airport (8–31–66).

Makes recommendations concerning safety, efficiency, and uniformity in the interest of vehicles used on the aircraft operational area of an airport.

150/5210–6B Aircraft Fire and Rescue Facilities and Extinguishing Agents (1–26–73).

Outlines scales of protection considered as the recommended level compared with the minimum level in Federal Aviation Regulation Part 139.49 and tells how these levels were established from test and experience data.

150/5210–6B CH 1 (8–22–73).

Issues new guidance under paragraph 9, and paragraph 12 of subject advisory circular.

150/5210–6B CH 2 (5–21–74).

Includes details on the basic purpose, care, and cleaning of proximity suits. Adds a new chapter 5—contains criteria intended for use in purchasing off-the-shelf design proximity suits.

150/5210–7A Aircraft Fire and Rescue Communications (3–16–72).

Provides guidance information for use by airport management in establishing communication and alarm facilities by which personnel required to respond to and function at aircraft ground emergencies may be alerted and supplied with necessary information.

150/5210–8 Aircraft Firefighting and Rescue Personnel and Personnel Clothing (1–13–67).

Provides guidance concerning the manning of aircraft fire and rescue trucks, the physical qualifications that personnel assigned to these trucks should meet, and the protective clothing with which they should be equipped.

150/5210–9 Airport Fire Department Operating Procedures During Periods of Low Visibility (10–27–67).

Suggests training criteria which airport management may use in developing minimum response times for aircraft fire and rescue trucks during periods of low visibility.

150/5210–10 Airport Fire and Rescue Equipment Building Guide (12–7–67).

This title is self-explanatory.

150/5210–11 Response to Aircraft Emergencies (4–15–69).

Informs airport operators and others of an existing need for reducing aircraft firefighting response time, and outlines a uniform response time goal of 2 minutes within aircraft operational areas on airports.

150/5210–12 Fire and Rescue Service for Certificated Airports (3–2–72).

Furnishes guidance and explains to Federal Aviation Administration (FAA) airport inspectors and airport management the minimum criteria to be applied when evaluating the aircraft fire and rescue service required at an airport for its compliance with the requirements of FAR Part 139.

150/5210–13 Water Rescue Plans, Facilities, and Equipment (5–4–72).

Suggests planning procedures, facilities, and equipment to effectively perform rescue operations when an aircraft lands in a body of water, swamp, or tidal area where normal aircraft firefighting and rescue service vehicles are unable to reach the accident scene.

150/5220–1 Guide Specification for a Light-Weight Airport Fire and Rescue Truck (7–24–64).

Describes a vehicle with performance capabilities considered as minimum for an acceptable light rescue truck.

150/5220–4 Water Supply Systems for Aircraft Fire and Rescue Protection (12–7–67).

The title is self-explanatory.

150/5220–6 Guide Specification for 1,000-Gallon Tank Truck (4–10–68).

Assists airport management in the development of local procurement specifications.

150/5220–9 Aircraft Arresting System for Joint Civil/Military Airports (4–6–70).

Updates existing policy and describes and illustrates the various types of military aircraft emergency arresting systems that are now installed at various joint civil/military airports. It also informs users of criteria concerning installations of such systems at joint civil/military airports.

150/5220–10 Guide Specification for Water/Foam Type Aircraft Fire and Rescue Trucks (5–26–72).

Assists airport management in the development of local procurement specifications.

150/5220–10 CH 1 (12–4–72).

Replaces information on weight distribution and fire pump engines which was omitted when the subject circular was developed, consolidating information from four other circulars.

150/5220–10 CH 2 (8–22–73).

Expands the guidance under paragraph 14 of subject AC to permit the design of engine systems to operate in freezing temperatures for prolonged periods and to provide devices insulation materials, etc., to prevent the truck fire fighting system from freezing.

150/5230–3 Fire Prevention During Aircraft Fueling Operations (4–8–69).

This advisory circular provides information on fire preventive measures which aircraft servicing personnel should observe during fueling operations.

150/5240–7 A Fuel/Energy Conservation Guide for Airport Operators (2–19–74).

Identifies potential areas where fuel and energy usage can be conserved to assist airport operators in their voluntary actions in reducing fuel and energy consumption.

150/5280–1 Airport Operations Manual (6–16–72).

Sets forth guidelines to assist airport operators in developing an Airport Operations Manual in compliance with the requirements of FAR Part 139.

150/5280–3 Fire Fighting Exemptions Under the 1976 Amendment to the Federal Aviation Act (2–4–77).

Outlines the type of information that may be used as justification in supporting petitions for exemption from a portion or all of the fire fighting and rescue requirements of Part 139.

DESIGN, CONSTRUCTION, AND MAINTENANCE—GENERAL

150/5300–2C Airport Designs Standards—Site Requirements for Terminal Navigational Facilities (9–21–73). Consolidated reprint 1976 includes Change 1.

Provides information regarding the relative location and siting requirements for the terminal navigation facilities located on or close to an airport.

150/5300–4B Utility Airports—Air Access to National Transportation (6–24–75).

Establishes design standards for utility airports which are constructed for and intended to be used by propeller-driven aircraft of 12,500 pounds maximum gross weight or less.

150/5300–4B CH 1 (8–24–76).

150/5300–5 Airport Reference Point (9–26–68).

Defines and presents the method for calculating an airport reference point.

150/5300–6 Airport Design Standards, General Aviation Airports, Basic and General Transport (7–14–69). Consolidated Reprint August 1975 Incorporates Changes 1 and 2.

Provides recommended design criteria for the development of larger than general utility airports.

150/5300–7B FAA Policy on Facility Relocations Occasioned by Airport Improvements or Changes (11–8–72).

Reaffirms the aviation community of the FAA policy governing responsibility for funding relocation, replacement and modification to air traffic control and air navigation facilities that are made necessary by improvements or changes to the airport.

150/5300–8 Planning and Design Criteria for Metropolitan STOL Ports (11–5–70).

Provides the criteria recommended for the planning and design of STOL ports in metropolitan areas.

150/5300–8 CH 1 (4–3–75).

Transmits revised requirements for color coding of threshold and runway end lights on STOL runways.

150/5300–9 Predesign and Preconstruction Conferences (ADAP) Projects (9–10–73).

Emphasizes the need for, and encourages the use of, predesign and preconstruction conferences as valuable tools in the administration of construction contracts funded under the ADAP.

150/5300–10 Federal Aviation Administration Funded Study—Analysis of General Aviation Airports Developed With and Without Federal Financial Assistance (7–21–75).

Transmits the recommendations and conclusions of a study conducted for the FAA. Advises the public as to how they may obtain the reports.

150/5320–5B Airport Drainage (7–1–70).

Provides guidance for engineers, airport managers, and the public in the design and maintenance of airport drainage systems. ($1.30 Supt. Docs.) SN 050–007–00149–5.

150/5320–6B Airport Pavement Design and Evaluation (5–28–74). Consolidated reprint 1976 includes change 1.

Provides guidance to the public for the design and evaluation of pavements at civil airports.

150/5320–10 Environmental Enhancement at Airports—Industrial Waste Treatment (4–16–73).

Provides basic information on the nature and treatment of industrial wastes produced at airports.

150/5320–10 CH 1 (11–18–74).

150/5320–11 Runway Categorization—Aeronautical Studies—Airport Owners' Responsibilities (9–21–73).

Emphasizes the need for airport owners to maintain runway and approach zone categories and locations on file with FAA so they may be given consideration under the regulations of FAR Part 77.

150/5320–12 Methods for the Design, Construction, and Maintenance of Skid Resistant Airport Pavement Surfaces (6–30–75).

Provides guidance on methods that can be used to provide and maintain airport pavement surface friction characteristics.

150/5325–2C Airport Design Standards—Airports Served by Air Carriers—Surface Gradient and Line-of-Sight (2–6–75). Consolidated reprint 1975 includes Change 1.

Establishes design standards for airports served by certificated air carriers to assist engineers in (1) designing the gradients of airports surface areas used to accommodate the landing, takeoff, and other ground movement requirement of airplanes while (2) providing adequate line of sight between airplanes operating on airports.

150/5325–3 Background Information on the Aircraft Performance Curves for Large Airplanes (1–26–65). Consolidated Reprint May 1974. Includes Change 1.

Provides airport designers with information on aircraft performance curves for design which will assist them in an objective interpretation of the data used for runway length determination.

150/5325–4 Runway Length Requirements for Airport Design (4–5–65). Consolidated Reprint 1977 Includes Changes 1 through 11.

Presents aircraft performance curves and sets forth standards for the determination of runway lengths to be provided at airports. The use of these standards is required for project activity under the Federal-Aid Airport Program when a specific critical aircraft is considered as the basis for the design of a runway.

150/5325–5B Aircraft Data (7–30–75). Consolidated reprint 1976 includes Change 1.

Presents a listing of principal dimensions of aircraft affecting airport design for guidance in airport development.

150/5325–6A Airport Design Standards—Effects and Treatment of Jet Blast (7–13–72).

Presents criteria on the jet engine blast velocities associated with aircraft in common use in air carrier service, the effects of these blast velocities during ground operations, and suggested means to counteract or minimize these effects.

150/5325–8 Compass Calibration Pad (5–8–69).

Provides guidelines for the design, location on the airport, and construction of a compass calibration pad, and basic information concerning its use in determining the deviation error in an aircraft magnetic compass.

150/5335–1A Airport Design Standards—Airports Served by Air Carriers—Taxiways (5–15–70). Consolidated reprint 1976 includes Change 1.

Provides criteria on taxiway design for airports served by certificated route air carriers with present airplanes and those anticipated in the near future.

150/5335–1A CH 2 (12–29–76).

Transmits revised pages to the subject advisory circular.

150/5335–2 Aiport Aprons (1–27–65).

Provides the criteria for airport aprons which are acceptable in accomplishing a project meeting the eligibility requirements of the Federal-aid Airport Program.

150/5335–3 Airport Design Standards—Airports Served by Air Carriers—Bridges and Tunnels on Airports (4–19–71). Consolidated reprint June 1977 includes Change 1.

Provides general guidance to those contemplating the construction of a bridge-type structure to allow aircraft to cross over an essential surface transportation mode.

150/5335–4 Airport Design Standards—Airports Served by Air Carriers—Runway Geometrics (7–21–75).

Provides criteria on runway geometric design for airports served by certificated route air carriers.

150/5335–4 Ch 1 (6–14–76).

150/5340–1D Marking of Paved Areas on Airports (1–19–73).

Describes standards for marking serviceable runways and taxiways as well as deceptive, closed, and hazardous areas on airports.

150/5340–4C Installation Details for Runway Centerline and Touchdown Zone Lighting Systems (5–6–75). Consolidated March 1977 includes Change 1.

Describes standards for the design and installation of runway centerline and touchdown zone lighting systems.

150/5340–5A Segmented Circle Airport Marker System (9–10–71).

Sets forth standards for a system of airport marking consisting of certain pilot aids and traffic control devices.

150/5340–14B Economy Approach Lighting Aids (6–19–70). Consolidated reprint March 1977 includes Changes 1 and 2.

Describes standards for the design, selection, sitting, and maintenance of economy approach lighting aids.

150/5340–17A Standby Power for Non-FAA Airport Lighting Systems (3–19–71).

Describes standards for the design, installation, and maintenance of standby power for nonagency owned airport visual aids associated with the National Airspace System (NAS).

150/5340–18 Taxiway Guidance System (9–27–68).

Describes the recommended standards for design, installation, and maintenance of a taxiway guidance sign system.

150/5340–19 Taxiway Centerline Lighting System (11–14–68).

Describes the recommended standards for design, installation, and maintenance of a taxiway centerline lighting system.

150/5340–20 Installation Details and Maintenance Standards for Reflective Markers for Airport Runway and Taxiway Centerlines (2–17–69).

Describes standards for the installation and maintenance of reflective markers for airport runway and taxiway centerlines.

150/5340–21 Airport Miscellaneous Lighting Visual Aids (3–25–71).

Describes standards for the system design, installation, inspection, testing, and maintenance of airport miscellaneous visual aids; i.e., airport beacons, beacon towers, wind cones, wind tees, and obstruction lights.

150/5340–22 Maintenance Guide for Determining Degradation and Cleaning of Centerline and Touchdown Zone Lights (4–20–71). Consolidated reprint August 1977 includes Change 1.

Contains maintenance recommendations for determining degradation and cleaning of centerline and touchdown zone lights installed in airport pavement.

150/5340–23A Supplemental Wind Cones (6–24–75).

Describes standards for the performance and location of supplemental wind cones.

150/5340–24 Runway and Taxiway Edge Lighting System (9–3–75).

Describes standards for the design, installation, and maintenance of runway and taxiway edge lighting.

150/5340–25 Visual Approach Slope Indicator (VASI) Systems (9–24–76).

Describes standards for the design, installation, and maintenance of visual approach slope indicator systems.

150/5340–25 CH 1 (5–3–77).

Transmits page changes to subject advisory circular.

150/5345-1E Approved Airport Lighting Equipment (9–9–76).

Contains lists of approved airport lighting equipment and manufacturers qualified to supply their product in accordance with the indicated specification requirements.

150/5345–1E CH 1 (3–23–77).

Adds additional equipment and manufacturers to the approved list.

150/5345–2 Specification for L–810 Obstruction Light (11–4–63). Consolidated reprint June 1977 includes change 1.

Required for FAAP project activity.

150/5345–3C Specification for L–821 Panels for Remote Control of Airport Lighting (3–30–77).

Describes the specification requirements for an airport lighting control panel for the remote control of airport lighting circuits and is published by the Federal Aviation Administration for the guidance of the public.

150/5345–4 Specification for L–829 Internally Lighted Airport Taxi Guidance Sign (10–15–63). Consolidated reprint June 1977 includes Change 1.

Required for FAAP project activity.

150/5345–5 Specification for L–847 Circuit Selector Switch, 5,000 Volt 20 Ampere (9–3–63).

Required for FAAP project activity.

150/5345–7C Specification for L–824 Underground Electrical Cable for Airport Lighting Circuits (2–4–76).

Describes the specification requirements for underground electrical cables for airport lighting circuits. Published by the FAA for the guidance of the public.

150/5345–10C Specification for L–828 Constant Current Regulators (10–22–71).

Describes the subject specification requirements and is published by the Federal Aviation Administration for the guidance of the public.

150/5345–11 Specification for L–812 Static Indoor Type Constant Current Regulator Assembly, 4 Kw and 7½ Kw, With Brightness Control for Remote Operations (3–2–64).

Required for FAAP project activity.

150/5345–12A Specification for L–801 Beacon (5–12–67). Consolidated Reprint November 1974. Includes Change 1.

Describes the subject specification requirements.

150/5345–13 Specification for L–841 Auxiliary Relay Cabinet Assembly for Pilot Control of Airport Lighting Circuits (1–6–64).

Required for FAAP project activity.

150/5345–18 Specification for L–811 Static Indoor Type Constant Current Regulator Assembly, 4 Kw; With Brightness Control and Runway Selection for Direct Operation (3–3–64). Consolidated reprint Sept. 1974 includes Change 1.

Required for FAAP project activity.

150/5345–21 Specification for L813 Static Indoor Type Constant Current Regulator Assembly; 4 Kw and 7½ Kw; for Remote Operation of Taxiway Lights (7–28–64).

Describes the subject specification requirements.

150/5345–26A Specification for L–823 Plug and Receptacle, Cable Connectors (5–4–71). Consolidated reprint June 1977 includes change 1.

Describes the subject specification requirements.

150/5345–27A Specification for L–807 Eight-foot and Twelve-foot Unlighted or Externally Lighted Wind Cone Assemblies (6–16–69).

Describes the subject specification requirement for a hinged steel pole support, an anodized tapered aluminum hinged base pole support, and an "A" frame fixed support with a pivoted center pipe support.

150/5345–28C Specification for L–851 Visual Approach Slope Indicators and Accessories (3–23–77).

Describes the specification requirements for visual approach slope indicator (VASI) and simple abbreviated visual approach slope indicator (SAVASI) equipment and accessories.

150/5345–36 Specification for L–808 Lighted Wind Tee (2–3–65).

Describes the subject specification requirements.

150/5345–39A FAA Specification L–853, Runway and Taxiway Centerline Retroreflective Markers (9–17–71).

Describes specification requirements for L–853 Runway and Taxiway Retroreflective markers, for the guidance of the public.

150/5345–42A FAA Specification L–857, Airport Light Bases, Transformer Housings and Junction Boxes (10–4–73).

Describes specification requirements for airport light bases, transformer housing and junction boxes for the guidance of the public.

150/5345–42A Ch 1 (11–14–75).

150/5345–43B FAA/DOD Specification L–856, High Intensity Obstruction Lighting Systems (11–1–73).

Contains equipment specifications for high intensity obstruction lighting systems.

150/5345–44A Specification for L–858 Retroreflective Taxiway Guidance Signs (7–20–71).

Describes the specification for retroreflective taxiway guidance signs.

150/5345–45 Lightweight Approach Light Structure (5–10–73).

Presents the specifications for lightweight structures for supporting lights as used in visual navigational aid systems.

150/5345–46 Specification for Semiflush Airport Lights (7–11–75).

Establishes the performance requirements and pertinent construction details for omnidirectional, unidirectional, and bidirectional semiflush inset light assemblies to be used for lighting airport runways and taxiways.

150/5345–46 Ch 1 (9–9–75).

AC 150/5345–46 Ch 1 Errata Sheet (11–20–75).

150/5345–47 Isolation Transformers for Airport Lighting Systems (7–28–75).

Contains the specifications requirements for series-to-series isolation transformers for use in airport lighting systems.

150/5345–48 Specification for Runway and Taxiway Edge Lights (8–1–75).

Contains the specification requirements for airport runway and taxiway edge lights for the guidance of the public.

150/5345–48 Ch 1 (7–13–76).

150/5345–49 Specification L–854, Radio Control Equipment (5–20–77).

Contains the specification for radio control equipment to be used for controlling airport lighting facilities.

150/5355–1A International Signs to Facilitate Passengers Using Airports (11–3–71).

Informs airport authorities of the desirability to provide international signs and diagrammatic maps within terminal buildings and of the need for clearly marked road signs for airports.

150/5355–2 Fallout Shelters in Terminal Buildings (4–1–69).

Furnishes guidance for the planning and design of fallout shelters in airport terminal buildings.

150/5360–2 Airport Cargo Facilities (4–6–64).

Provides guidance material on air cargo facilities.

150/5360–4 Guidelines for Federal Inspection Services Facilities at International Airports of Entry and at Landing Rights Airports (5–20–76).

Announces the availability of more current information on the requirements for Federal Inspection Services at airports of entry and at landing rights airports.

150/5360–5 Announcement of Availability of the International Civil Aviation Organizaton (ICAO) Computer Data Bank Material (8–13–76).

Announces the availability of computer data bank material on airports shown in the International Civil Aviation Organization (ICAO) Regional Air Navigation Plans and how it can be obtained.

150/5360–6 Airport Terminal Building Development with Federal Participation (10–5–76).

Provides guidance pertaining to Federal participation in airport terminal building construction under the provisions of the Airport and Airway Development Act, as amended.

150/5360–7 Planning and Design Consideration for Airport Terminal Building Development (9–5–76).

Presents planning and design procedures to be considered in airport terminal building development funded under the Airport and Airway Development Act, as amended.

150/5360–8 Announcement of Availability of Information on Foreign Airport Planning, Design, Construction, and Trade Opportunities (9–24–76).

Provides information on the availability of the U.S. Dept. of Commerce Foreign Trade Opportunities Program and on publications issued on foreign airport planning, design, construction, and trade opportunities.

150/5370–2A Operational Safety on Airports With Emphasis on Safety During Construction (6–20–75).

Presents guidelines concerning operational safety on airports with special emphasis on safety during periods of construction activity.

150/5370–2A CH 1 (8–2–76).

150/5370–4 Procedures Guide for Using the Standard Specifications for Construction of Airports (5–29–69).

Provides guidance to the public in the use and application of the Standard Specifications for Construction of Airports.

150/5370–5A Offshore Airports (2–21–75).

Announces to the public the availability of a two-volume report on offshore airport planning and construction methods and how to obtain the report.

150/5370–6 Construction Progress and Inspection Report—Federal-Aid Airport Program (3–16–70).

Provides for a report on construction progress and inspection of Federal-aid Airport Program (FAAP) projects, suggests a form for the report, and recommends use of the form unless other arrangements exist to obtain the type of information provided by the form.

150/5370–7 Airport Construction Controls To Prevent Air and Water Pollution (4–26–71).

Supplies guidance material on compliance with air and water standards during construction of airports developed under the Airport and Airway Development Act of 1970.

150/5370-9 Slip-Form Paving—Portland Cement Concrete (6-7-73).

Transmits guidance for the construction of Portland Cement Concrete pavements by the slip-form method.

150/5370-10 Standards for Specifying Construction of Airports (10-24-74).

Provides construction standards usually used to specify grading, drainage, paving, lighting, fencing, and turfing items of work on civil airports. (\$7.25 Supt. Docs.) SN 050-007-00264-5.

150/5370-10 CH 1 (5-31-77).

150/5370-11 Use of Nondestructive Testing Devices in the Evaluation of Airport Pavements (6-4-76).

Provides guidance to the public on the use of nondestructive testing devices as aids in the evaluation of the load-carrying capacity of airport pavements.

150/5380-4 Ramp Operations During Periods of Snow and Ice Accumulation (9-11-68).

Directs attention to an increased accident potential when snow or ice accumulates on the surfaces of ramps and aircraft parking and holding areas and suggests some measures to reduce this potential.

150/5380-5 Debris Hazards at Civil Airports (3-8-71).

Discusses problems of debris at airports, gives information on foreign objects, and tells how to eliminate such objects from operational areas.

150/5390-1A Heliport Design Guide (11-5-69).

(Out of print. Being revised.)

Contains design guidance material for the development of heliports, both surface and elevated. (\$1.50 Supt. Docs.) SN 050-008-00002-9.

PLANNING GRANT PROGRAM

150/5900-1A The Planning Grant Program for Airports (9-26-74).

Offers guidance to the sponsors of airport system plans and airport master plans on how to participate in the FAA's Planning Grant Program. It describes the application process and the administrative procedures to be followed in performing planning projects.

Air Navigational Facilities

SUBJECT NO. 170

170-3B Distance Measuring Equipment (DME) (11-8-65).

Presents information on DME and some of its uses to pilots unfamiliar with this navigational aid.

170-6A Use of Radio Navigation Test Generators (3-30-66).

Gives information received from the Federal Communications Commission as to the frequencies on which the FCC will license test generators (used to radiate a radio navigation signal) within the scope of its regulations and gives additional information to assist the user when checking aircraft navigation receivers.

170-8 Use of Common Frequencies for Instrument Landing Systems Located on Opposite Ends of the Same Runway (11-7-66).

In the future, common frequencies may be assigned to like components of two instrument landing systems serving opposite ends of the same runway. This will include the localizers, glide slopes, and associated outer and middle marker compass locators (LOM and LMM).

170-9 Criteria for Acceptance of Ownership and Servicing of Civil Aviation Interest(s) Navigational and Air Traffic Control Systems and Equipment (11-26-68).

Contains a revised FAA policy under which the FAA accepts conditional ownership of equipment and systems from civil aviation interests, without the use of Federal funds, and operates, maintains, and provides the logistic support of such equipment.

170-10 FAA Recommendations to FCC on Licensing of Non-Federal Radio Navigation Aids (10-17-69).

Gives background information and describes the basis for recommendations to be made by the FAA to the Federal Communications Commission (FCC) regarding licensing of radio navigation aids.

170-11 Amendment of Federal Aviation Regulation Part 171 (FAR-171)—Cost of Flight and Ground Inspections (9-17-70).

Alerts the public to the amendment to FAR Part 171 pertaining to the payment of ground and flight inspection charges prior to the issuance of an approved IFR procedure.

170-12 Implementatoin of 50 KHz/Y Channels for ILS/VOR/DME (10-7-70).

Advises aircraft owners, operators and radio equipment manufacturers of plans for future implementation of split channel assignments in the aeronautical radio navigation bands.

Administrative

SUBJECT NO. 180

183-30B FAA Designated Mechanic Examiners Directory (5-10-76).

Provides a revised directory of all FAA designated mechanic examiners as of Jan. 31, 1976.

183-31C FAA Designated Parachute Rigger Examiner Directory (5-10-76).

Provides a new directory of all FAA designated parachute rigger examiners as of Jan. 31, 1976.

183.29-1J Designated Engineering Representatives (7-1-76).

Lists FAA-approved Designated Engineering Representatives who are available for consulting work.

Flight Information

SUBJECT NO. 210

210-1A National Notice to Airmen System (12-10-75).

Announces FAA policy for the preparation and issuance of essential flight information to pilots and other aviation interests.

210-3 National Notice to Airmen System—Elimination of NOTAM Code (5-22-70).

Announces changes in criteria and procedures for the Notice to Airmen System required to accommodate the transmission of all domestic Notice to Airmen data in clear contracted language and eliminate use of the NOTAM code on the domestic service A circuits.

210-4 National Notice to Airmen (NOTAM) System Handbook (3-3-77).

Announces the establishment of criteria for originating, preparing, and disseminating changes to essential flight information to pilots and other aviation interests as established by FAA Order 7930.1A.

210-4 National Notice to Airmen (NOTAM) System Handbook ADDENDUM.

Corrects contents pages.

211-2 Recommended Standards for IFR Aeronautical Charts (3-20-67).

Sets forth standards recommended by the Federal Aviation Administration for the guidance of the public in the issuance of IFR aeronautical charts for use in the National Airspace System (NAS).

Advisory Circulars For Sale

This List contains those circulars that are sold by the Superintendent of Documents. (See numerical index for appropriate price, sequential lettering, if any, and date, etc.)

Acceptable Methods, Techniques, and Practices—Aircraft Alterations, AC 43.13-2.
Acceptable Methods, Techniques, and Practices—Aircraft Inspection and Repair, AC 43.13-1.
Aircraft Dispatcher Written Test Guide, AC 65-4.
Airframe and Powerplant Mechanics Airframe Handbook, AC 65-15.
Airframe and Powerplant Mechanics Certification Guide, AC 65-2.
Airframe and Powerplant Mechanics Certification Information, AC 65-11.
Airframe and Powerplant Mechanics—General Handbook, AC 65-9.
Airframe and Powerplant Mechanics Powerplant Handbook, AC 65-12.
Airline Transport Pilot—Airplane—Practical Test Guide (Part 61 Revised), AC 61-77.
Airline Transport Pilot (Airplane) Written Test Guide, AC 61-18.
Airline Transport Pilot (Helicopter) Written Test Guide, AC 61-42.
Airport Drainage, AC 150/5320-5.
Airport Master Plans, AC 150/5070-6.
Aviation Instructors Handbook, AC 60-14.
Aviation Weather, AC 00-6.
Aviation Weather Services, AC 00-45.
Basic Glider Criteria Handbook, AC 21-3.

Basic Helicopter Handbook, AC 61-13.
Commercial Pilot Airplane Flight Test Guide, AC 61-55.
Commercial Pilot Airplane Written Test Guide, AC 61-71.
Federal Aviation Regulations Written Test Guide for Private, Commercial, and Military Pilots, AC 61-34
Flight Engineer Written Test Guide, AC 63-1.
Flight Instructor Instrument—Airplane—Written Test Guide, AC 61-70.
Flight Instructor Practical Test Guide, AC 61-58.
Flight Instructor Airplane Written Test Guide, AC 61-72.
Flight Test Guide—Gyroplane, Private and Commercial, AC 61-30.
Flight Test Guide—Helicopter, Private and Commercial Pilot, AC 61-25.
Flight Test Guide (Part 61 revised)—Instrument Pilot Airplane, AC 61-56.
Flight Test Guide—Instrument Pilot Helicopter, AC 61-64.
Flight Test Guide (Part 61 revised)—Private Airplane, AC 61-54.
Flight Navigator Written Test Guide, AC 63-2
Flight Training Handbook, AC 61-21.
Forming and Operating a Flying Club, AC 00-25.
General Aviation Inspection Aids, Summary, AC 20-7.
Ground Instructor—Instrument—Written Test Guide, AC 143-2.
Ground Instructor Written Test Guide—Basic and Advanced, AC 143-1.
Guide to Drug Hazards in Aviation Medicine, AC 91.11-1.
Heliport Design Guide, AC 150/5390-1.
Instrument Flying Handbook, AC 61-27.
Instrument Rating (Airplane) Written Test Guide, AC 61-8.
Inspection Authorization Study Guide, AC 65-19.
Medical Handbook for Pilots, AC 67-2.
Multiengine Airplane Class and Type Rating, AC 61-57.
Nondestructive Testing in Aircraft, AC 43-3.
Parachute Rigger Certification Guide, AC 65-5.
Personal Aircraft Inspection Handbook, AC 20-9.
Pilot Transition Courses for Complex Single-engine and Light, Twin-engine Airplanes, AC 61-9.
Pilot's Handbook of Aeronautical Knowledge, AC 61-23.
Pilot's Weight and Balance Handbook, AC 91-23.
Planning the Metropolitan Airport System, AC 150/5070-5.
Planning the State Airport System, AC 150/5050-3.
Private and Commercial Pilot, Flight Test Guide, AC 61-59.
Private and Commercial Pilot Glider, Flight Test Guide, AC 61-61.
Private and Commercial Pilot Gyroplane, Flight Test Guide, AC 61-60.
Private and Commercial Pilots Refresher Courses, AC 61-10.
Private and Commercial Pilot—Rotorcraft/Helicopter—Written Test Guide, AC 61-73.
Private Pilot (Airplane) Flight Training Guide, AC 61-2.
Private Pilot Written Test Guide, AC 61-32.
Standards for Specifying Construction of Airports, AC 150/5370-10.
Student Pilot Guide, AC 61-12.
Terrain Flying, AC 91-15.
Ultrasonic Nondestructive Testing for Aircraft, AC 43-7.
U.S. Civil Aircraft Register, AC 20-6.
Written Test Guide, Flight Instructor—Glider, AC 61-75.
Written Test Guide, Flight Instructor—Rotorcraft-Helicopter, AC 61-74.
Written Test Guide—Airplane—Flight Instructor, AC 61-72.
Written Test Guide—Airplane—Commercial Pilot, AC 61-71.

Internal Publications

Contractions Handbook, 7340.1E (10-1-75).

Gives approved word and phrase contractions used by personnel connected with air traffic control, communications, weather, charting, and associated services. (Sub. $18.00-$23.00 foreign—Supt. Docs.) TD 4.308:C76/975.

Location Identifiers, 7350.4H (9-15-76).

Incorporates all authorized 3-letter location identifiers for special use in United States, worldwide, and Canadian assignments. (Sub. $11.70—$14.65 foreign—Supt. Docs.) TD 4.310:.

Air Traffic Control Handbook, 7110.65 (1-1-76).

Prescribes air traffic control procedures and phraseology for use by personnel providing air traffic control services. Controllers are required to be familiar with the provisions of this handbook which pertain to their operational responsibility and to exercise their best judgment if they encounter situations not covered by it. This handbook cancels 7111.9D and 7110.8. (Sub. $14.75—$18.45 foreign—Supt. Docs.) TD 4.308 AI 7/3:976.

Flight Services, 7110.10D (1-1-77).

This handbook consists of two parts. Part I, the basic, prescribes procedures and phraseology for use by personnel providing flight assistance and communications services. Part II, the teletypewriter portion, includes Services A and B teletypewriter operating procedures, pertinent International Teletypewriter Procedures, and the conterminous U.S. Service A Weather Schedules. (Sub. $18.30—$22.90 foreign—Supt. Docs.) TD 4.308: F 64/977.

United States Standard for Terminal Instrument Procedures (TERPS), 8260.3B (July 1976).

Contains criteria which shall be used to formulate, review, approve, and publish procedures for instrument approach and departure of aircraft to and from civil and military airports. These criteria are for application at any location over which an appropriate U.S. agency exercises jurisdiction. ($2.80 single copy. Supt. Docs.) Changes sold separately as issued.) SN 050-007-00345-5.

International Flight Information Manual, Vol. 25 (April 1977).

This Manual is primarily designed as a preflight and planning guide for use by U.S. nonscheduled operators, business and private aviators contemplating flights outside of the United States.

The Manual, which is complemented by the International Notams publication, contains foreign entry requirements, a directory of aerodromes of entry including operational data, and pertinent regulations, and restrictions. It also contains passport, visa, and health requirements for each country. Published annually with quarterly amendments. (Annual Sub $9.00, $11.25 foreign—Supt. Docs.) TD 4.309 24 976.

International Notams.

Covers notices on navigational facilities and information on associated aeronautical data generally classified as "Special Notices." Acts as a notice-to-airmen service only. Published weekly. (Annual Sub. $28.10 domestic—$35.15 foreign—Supt Docs ' TD4.11:.

Airman's Information Manual:

Part 1—Basic Flight Information and ATC Procedures.

This part is issued semiannually and contains basic fundamentals required to fly in the U.S. National Airspace System; Among other data it also contains adverse factors affecting Safety of Flight; Health and Medical Facts of interest to pilots; ATC information affecting rules, regulations and procedures; a Pilot/Controller Glossary; Air Defense Identification Zones (ADIZ); Designated Mountainous Areas; and Emergency Procedures. (Annual Sub. $5.00, foreign $6.25. Supt. Docs ' TD 4.12: pt. 1, .

Part 2—Airport Directory.

This part is issued semiannually and contains a Directory of all Airports, Seaplane Bases, and Heliports in the conterminous United States, Puerto Rico, and the Virgin Islands which are available for civil use. It includes all of their services, except communications, in codified form. Those airports with communications are also listed in Part 3 which reflects their radio facilities. A list of new and permanently closed airports which updates this part is contained in Part 3. Also included in Part 2 are U.S. Entry and Departure Procedures, including Airports of Entry and Landing Rights Airports; and a listing of Flight Service Station and National Weather Service Telephone Numbers. (Annual Sub. $7, foreign $8.75. Supt. Docs.) TD 4.12 pt. 2 .

Part 3—Operational Data and Special Notices.

Part 3 is issued every 56 days and contains an Airport-Facility Directory of all major airports in the conterminous U.S., Peurto Rico, and the Vrigin Islands with control towers and or instrument landing systems, a tabulation of Air Navigation Radio Aids including Restrictions to En Route Navigation Aids; Special, General, & Area Notices; a tabulation of New and Permanently Closed Airports (which updates Part 2'); Locations of VOR Receiver Check Points (both ground and airborne'), a tabulation of North Atlantic Routes Preferred Routes' Area Navigation Routes, and Sectional Chart Bulletins Annual subscription $30.50; $38.15 foreign Supt Docs ' TD 4.12: pt. 3

Part 3A—Notices to Airmen.

Part 3A is issued every 14 days and contains current Notices to Airmen considered essential to the safety of flight as well as supplemental data to all Parts of AIM (Annual subscription $20.55; $25.70 foreign Supt Docs ' TD 4.12: pt. 3A

Part 4—Graphic Notices and Supplemental Data.

Part 4 is issued quarterly and contains abbreviations used in all parts of AIM; Parachute Jump Areas; Special Notice—Area Graphics; Terminal Area Graphics; Terminal Radar Service Area Graphics; Olive Branch Routes and other data not requiring frequent change. (Annual Sub. $14.40, foreign $18.00. Supt. Docs.) TD 4.12: pt. 4/.

NOTICE

The FAA has changed the issuance system for the Aircraft Type Certificate Data Sheets and Specifications and the Aircraft Engine and Propeller Type Certificate Data Sheets and Specifications in an effort to reduce the cost to users. All subscriptions to these two volumes terminated on Dec. 31, 1976.

Beginning with the January 1977 editions the two titles will change to a new basic series title—Type Certificate Data Sheets and Specifications—and will be grouped into six volumes with subtitles as follows:

Vol. I Single-Engine Airplanes.
Vol. II Small Multiengine Airplanes.
Vol. III Large Multiengine Airplanes.
Vol. IV Rotocraft, Gliders, and Balloons.
Vol. V Aircraft Engines and Propellers.
Vol. VI Aircraft Listing and Aircraft Engine Listing.

Type Certificate Data Sheets and Specifications

Vol. I Single Engine Airplanes (TCDS 1) (Sub. $38.00, foreign $47.50. Supt. Docs.).

Vol. II Small Multiengine Airplanes (TCDS 2) (Sub. $28.00, foreign $35.00. Supt. Docs.).

Vol. III Large Multiengine Airplanes (TCDS 3) (Sub. $32.00, foreign $40.00. Supt. Docs.).

Vol. IV Rotorcraft, Gliders, and Balloons (TCDS 4) (Sub. $16.50, foreign $20.75. Supt. Docs.).

Vol. V Aircraft Engines and Propellers (TCDS 5) (Sub. $27.00, foreign $33.75. Supt. Docs.).

Vol. VI Aircraft Listing and Aircraft Engine and Propeller Listing (SN 050–007–00360–9) (Single Copy $4.15, foreign $5.20. Supt. Docs.).

Volumes I, II, III, IV, and V will be sold on a subscription basis and monthly supplementary service is included in the sales price.

Volume VI will be sold on a single-sales basis and will be issued as a revised edition when sufficient changes warrant.

Summary of Supplemental Type Certificates, January 1976.

Contains all supplemental type certificates issued by FAA regarding design changes in aircraft, engines, or propellers. List includes description of change, the model and type certificate number, the supplemental type certificate number, and the holder of the change. Quarterly supplements provided. ($43.00—Sub., foreign $54.00. Supt. Docs.) TD 4.36:976.

NOTICE

The January 1976 issues of the Summary of Airworthiness Directives—Volumes I and II, will be sold and distributed for the Superintendent of Documents by the Federal Aviation Administration from Oklahoma City, Oklahoma. Requests for subscriptions to either of these publications should be sent to:

U.S. Department of Transportation, Federal Aviation Administration, P.O. Box 25461, Attn: ACC–23, Oklahoma City, Okla. 73125.

Subscription service will consist of the summary and automatic biweekly updates to each summary for a 2-year period. Make certified checks or money orders payable to Federal Aviation Administration.

Summary of Airworthiness Directives for Small Aircraft (1–1–76) Volume I.

Presents, in volume form, all the Airworthiness Directives for small aircraft issued through December 31, 1975. AD's for engines, propeller, and equipment are included in each volume. Each volume is arranged alphabetically by product manufacturer. ($14.00 plus $3.50 additional for foreign handling.) SN 050–007–00306–4.

Summary of Airworthiness Directives for Large Aircraft (1–1–76) Volume II.

Presents, in volume form, all the Airworthiness Directives for large aircraft (over 12,500 pounds maximum certificated takeoff weight) issued through December 31, 1975. AD's for engines, propellers, and equipment are included in each volume. ($13.00 plus $3.25 additional for foreign handling.) SN 050–007–00307–2.

STATUS OF THE FEDERAL AVIATION REGULATIONS AS OF JULY 15, 1977

The FAA publishes the Federal Aviation Regulations to make readily available to the aviation community the regulatory requirements placed upon them. These Regulations are sold as individual Parts by the Superintendent of Documents.

The more frequently amended Parts are sold on subscription service (that is, subscribers will receive Changes automatically as issued), while the less active Parts are sold on a single-sale basis. Changes to single-sale Parts will be sold separately as issued. Information concerning these Changes will be furnished by FAA through its "Status of the Federal Aviation Regulations, AC 00–44." Instructions for ordering this free status list are given in the front of each single-sale Part.

NOTE

The Special Federal Aviation Regulations (SFAR) which are presently in effect are now being included in their related FAR Part.

The following list indicates the breakdown of the single-sale Parts and the subscription Parts. Check or money order made payable to the Superintendent of Documents should be included with each order. Submit orders for single-sales and subscription Parts on different order forms. No COD orders are accepted. All FAR Parts should be ordered from: Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402.

PARTS SOLD ON SUBSCRIPTION SERVICE

Part	Title	Catalog number	Publication date	Price: Domestic	Price: Additional for foreign handling	Price: Changes issued to date
1	Definitions and abbreviations	TD 4.6:1	June 1974	$3.00	$0.75	4
21	Certification procedures for products and parts.	TD 4.6:21	May 1974	3.75	.95	7
23	Airworthiness standards: Normal, utility, and acrobatic category airplanes.	TD 4.6:23	June 1974	3.55	.90	6
25	Airworthiness standards: Transport category airplanes.	TD 4.6:25	do	6.60	1.65	5
33	Airworthiness standards: Aircraft engines.	TD 4.6:33	August 1974	3.00	.75	3
36	Noise standards: Aircraft type and airworthiness certification.	TD 4.6:36	June 1974	3.00	.75	7
37	Technical standard order authorizations.	TD 4.6:37	May 1974	5.65	1.45	6
63	Certification: Flight crewmembers other than pilots.	TD 4.6:63	Sept. 1974	3.00	.75	2
91	General operating and flight rules.	TD 4.6:91	March 1974	11.30	2.85	20
93	Special air traffic rules and airport traffic patterns	TD 4.6:93	do	2.45	.65	5
103	Transportation of dangerous articles and magnetized materials [1].					
121	Certification and Operations: Domestic, flag, and supplemental air carriers and commercial operators of large aircraft.	TD 4.6:121	April 1974	9.20	2.30	23
123	Certification and operations: Air travel clubs using large airplanes.	TD 4.6:123	do	2.00	.50	4
139	Certification and operations: Land airports serving CAB-certificated scheduled air carriers operating large aircraft (other than helicopters).	TD 4.6:139	December 1974	3.00	.75	4

NOTE: Because of the lack of activity in the issuance of changes, the following FAR Parts have been taken off subscription service and are now sold as single-sales publications: Parts 43, 47, 61, 65, 105, 127, 133, 135, 141, and 152.

[1] The regulations for the transportation of hazardous material by air are set forth in Part 175—Carriage by Aircraft, effective July 1, 1976, published in 41 F.R. 16106, 4/15/76. This Part is issued by the Materials Transportation Bureau, Department of Transportation. For information concerning hazardous material regulations, contact the Materials Transportation Bureau, Departmtnt of Transportation, Washington, D.C. 20590.

PARTS SOLD ON SINGLE-SALE BASIS

Part	Title	Catalog No.	Publication date	Price [1]
11	General rulemaking procedures	TD 4.6:11	May 1974	$1.30
	Change 1	TD 4.6:11/Ch 1	Feb. 1, 1974 and Jan. 1, 1975.	.45
	Change 2	TD 4.6:11/Ch 2	Mar. 18, 1976	.40
	Change 3	TD 4.6:11/Ch 3	Jan. 1, 1976	.40
	Change 4	TD 4.6:11/Ch 4		.80
13	Enforcement procedures	TD 4.6:13	May 1974	.70
	Change 1	TD 4.6:13/Ch 1	Aug. 2, 1976	.40
	Change 2	TD 4.6:13/Ch 2	Dec. 13, 1976	.40
27	Airworthiness standards: Normal category rotorcraft	TD 4.6:27	August 1974	2.10
	Change 1	TD 4.6:27/Ch 1	Oct. 31, 1974	.75
	Change 2	TD 4.6:27/Ch 2	Feb. 5, 1976	.35
	Change 3	TD 4.6:27/Ch 3	Feb. 1, 1977	1.30
	Change 4	TD 4.6:27/Ch 4		1.40
29	Airworthiness standards: Transport category rotorcraft	TD 4.6:29	August 1974	1.70
	Change 1	TD 4.6:29/Ch 1	Oct. 31, 1974	.70
	Change 2	TD 4.6:29/Ch 2	Feb. 5, 1976	.35
	Change 3	TD 4.6:29/Ch 3	Jan. 14, 1975	.40
	Change 4	TD 4.6:29/Ch 4	Feb. 1, 1977	1.45
	Change 5	TD 4.6:29/Ch 5		1.60
31	Airworthiness standards: Manned free balloons	TD 4.6:31	August 1974	.40
	Change 1	TD 4.6:31/Ch 1	Feb. 1, 1977	.65
35	Airworthiness standards: Propellers	TD 4.6:35	do	.35
	Change 1	TD 46:35/Ch 1	Feb. 1, 1977	.65
	Change 2	TD 4.6:35/Ch 2		1.10
[2]39	Airworthiness directives	TD 4.6:39	May 1974	.35
43	Maintenance, preventive maintenance, rebuilding, and alteration.	TD 4.6:43	January 1974	1.80
45	Identification and registration marking	TD 4.6:45	do	.65
47	Aircraft registration	TD 4.6:47	do	.85
	Change 1	TD 4.6:47/Ch 1	Aug. 8, 1976	.40
49	Recording of aircraft titles and security documents	TD 4.6:49	do	.50
	Change 1	TD 4.6:49/Ch 1	do	.40
61	Certification: Pilots and flight instructors	TD 4.6:61	November 1974	2.90
	Change 1	TD 4.6:61/Ch 1	Dec. 22, 1976	.50
	Change 2	TD 4.6:61/Ch 2		.80
65	Certification: Airmen other than flight crewmembers	TD 4.6:65	September 1974	1.25
67	Medical standards and certification	TD 4.6:67	do	.50
	Change 1	TD 4.6:67/Ch 1	Dec. 21, 1976	.40
[2]71	Designation of Federal airways, area low routes, controlled airspace, and reporting points.	TD 4.6:71	January 1975	.85
	Change 1	TD 4.6:71/Ch1	July 28, 1975	.35
[2]73	Special use airspace	TD 4.6:73	January 1975	.40
	Change 1	TD 4.6:73/Ch1	July 28, 1975	.35
[2]75	Establishment of jet routes and high area routes	TD 4.6:75	January 1975	.40
	Change 1	TD 4.6:75/Ch 1	Apr. 26, 1976	.40
77	Objects affecting navigable airspace	TD 4.6:77	do	1.10
[2]95	IFR altitudes	TD 4.6:95	do	.50
	Change 1	TD 4.6:95/Ch 1	Feb. 13, 1975	.35
[2]97	Standard instrument approach procedures	TD 4.6:97	January 1975	.45
99	Security control of air traffic	TD 4.6:99	March 1974	.70
	Change 1	TD 4.6:99/Ch1	Mar. 11, 1976	.40

PARTS SOLD ON SINGLE-SALE BASIS—Continued

Part	Title	Catalog No.	Publication date	Price
101	Moored ballons, kites, unmanned rockets, and unmanned free balloons.	TD 4.6:101	do	.65
	Change 1	TD 4.6:101/Ch 1	Aug. 20, 1974	.50
105	Parachute jumping	TD 4.6:105	March 1974	.55
	Change 1	TD 4.6:105/Ch 1	Nov. 29, 1976	.40
107	Airport security	TD 4.6:107	March 1974	.40
	Change 1	TD 4.6:107/Ch 1	Dec. 9, 1976	.40
127	Certification and operations of scheduled air carriers with helicopters-	TD 4.6:127	April 1974	1.80
	Change 1	TD 4.6:127/Ch 1	September 1974	.35
	Change 2	TD 4.6:127/Ch 2		.65
129	Operations of foreign air carriers	TD 4.6:129	April 1974	.45
	Change 1	TD 4.6:129/Ch 1	Oct. 9, 1975	.35
	Change 2	TD 4.6:129/Ch 2	Aug. 23, 1976	.40
	Change 3	TD 4.6:129/Ch 2	Nov. 11, 1976	.35
133	Rotorcraft external-load operations	TD 4.6:133	November 1974	.55
	Change 1	TD 4.6:133/Ch 1		.65
	Change 2	TD 4.6:133/Ch 2		.90
	Change 3	TD 4.6:133/Ch 3		.90
135	Air taxi operators and commercial operators of small aircraft	TD 4.6:135	do	2.50
	Change 1	TD 4.6:135/Ch 1	do	.35
	Change 2	TD 4.6:135/Ch 2	May 1975	.35
	Change 3	TD 4.6:135/Ch 3	Nov. 29, 1976	.45
	Change 4	TD 4.6:135/Ch 4		.65
	Change 5	TD 4.6:135/Ch 5		.90
	Change 6	TD 4.6:135/Ch 6		1.50
137	Agricultural aircraft operations	TD 4.6:137	November 1974	.50
	Change 1	TD 4.6:137/Ch 1	May 24, 1976	.35
	Change 2	TD 4.6:137/Ch 2	Sept. 20, 1976	.40
141	Pilot schools	TD 4.6:141	do	1.15
143	Ground instructors	TD 4.6:143	September 1974	.45
145	Repair stations	TD 4.6:145	January 1974	.85
	Change 1	TD 4.6:145/Ch 1	Nov. 29, 1976	.40
147	Aviation maintenance technician schools	TD 4.6:147	September 1974	.65
	Change 1	TD 4.6:147/Ch 1	Nov. 29, 1976	.40
149	Parachute lofts	TD 4.6:149	January 1974	.50
151	Federal aid to airports	TD 4.6:151	December 1974	1.55
152	Airport aid program	TD 4.6:152	do	1.35
	Change 1	TD 4.6:152/Ch 1	Aug. 26, 1976	.40
	Change 2	TD 4.6:152/Ch 2	Oct. 21, 1976	.45
	Change 3	TD 4.6:152/Ch 3		.70
153	Acquisition of U.S. land for public airports	TD 4.6:153	Aug. 26, 1976	.50
154	Acquisition of U.S. land for public airports under the Airports and Airway Act of 1970.	TD 4.6:154	do	.40
	Change 1	TD 4.6:154/Ch 1		.70
155	Release of Airport property from surplus property disposal	TD 4.6:155	do	.40
157	Notice of construction, alteration, activation, and deactivation of airports.	TD 4.6:157	January 1975	.40
159	National Capital airports	TD 4.6:159	December 1974	1.00
	Change 1	TD 4.6:159/Ch 1	June 13, 1976	.35
169	Expenditure of Federal funds for nonmilitary airports or air navigational facilities thereon.	TD 4.6:169	January 1975	.35
171	Non-Federal navigation facilities	TD 4.6:171	do	1.10
	Change 1	TD 4.6:171/Ch 1	Aug. 19, 1975	.65
183	Representatives of the Administrator	TD 4.6:183	May 1974	.45
	Change 1	TD 4.6:183/Ch 1		.35
185	Testimony by employees and production of records in legal proceedings and service of legal process and pleadings.	TD 4.6:185	do	.80
187	Fees	TD 4.6:187	do	.40
189	Use of Federal Aviation Administration communication system.	TD 4.6:189	do	.40
191	Withholding Security Information from Disclosure Under the Air Transportation Security Act.	TD 4.6:191	Dec. 9, 1976	.40

[1] Add 25% for foreign handling.

[2] Due to their length, complexity, and frequency of issuance, individual Airworthiness Directives are published separately in the FEDERAL REGISTER. Copies of Airworthiness Directives that have been issued are for sale in summary form by DOT, FAA Aeronautical Center (Consigned agent for Superintendent of Documents), P.O. Box 25461, Oklahoma City, Okla. 73125, Attn: AAC-23.

[3] Due to their length, complexity, and frequency of issuance, individual airspace designations, airways descriptions, restricted areas, jet route descriptions, and en route IFR altitudes are not included in the publication of these basic parts. Such descriptions are published in the FEDERAL REGISTER and depicted on appropriate aeronautical charts. Aeronautical charts can be obtained from the U.S. Department of Commerce, National Oceanic and Atmospheric Administration, Distribution Division (C-44), National Ocean Survey, Riverdale, Md. 20840.

[4] Standard instrument approach procedures are published in the FEDERAL REGISTER by reference to FAA documents which are available for examination in the Rules Docket (AGC-24) and the National Flight Data Center, FAA Headquarters, Washington, D.C., and at the appropriate FAA Regional Offices and Flight Inspection District Offices. These approach procedures can be obtained from the U.S. Department of Commerce, National Oceanic and Atmospheric Administration, Distribution Division (C-44), National Ocean Survey, Riverdale, Md. 20840.

ELDEN NOOTENBOOM,
Acting Director, Office of Management Systems.

[FR Doc.77-28673 Filed 9-28-77;8:45 am]

federal register

THURSDAY, SEPTEMBER 29, 1977

PART VI



FEDERAL ELECTION COMMISSION

■

ADVISORY OPINION REQUESTS

[6715-01]

[Notice 1977-49, AOR's 1977-45, 1977-46, 1977-47, and 1977-48]

FEDERAL ELECTION COMMISSION

Advisory Opinion Requests

Pursuant to 2 U.S.C. § 437f(c) and the procedures reflected in Part 112 of the Commission's regulations, published on August 25, 1976 (41 FR 35954), Advisory Opinion Requests 1977-45, 1977-46, 1977-47, and 1977-48 have been made public at the Commission. Copies of AOR's 1977-45, 1977-46, 1977-47, and 1977-48 were made available on September 23, 1977. These copies of the advisory opinion requests were made available for public inspection and purchase at the Federal Election Commission, Public Records Division, at 1325 K Street NW., Washington, D.C. 20463.

Interested persons may submit written comments on any advisory opinion request within ten days after the date the request was made public at the Commission. These comments should be directed to the Office of General Counsel, Advisory Opinion Section, at the Commission. Persons requiring additional time in which to respond to any advisory opinion requests will normally be granted such time upon written request to the Commission. All timely comments received by the Commission will be considered before the Commission issues an advisory opinion. Comments on pending requests should refer to the specific AOR number of the requests and statutory references should be to the United States Code citations rather than to the Public Law citations.

A descriptive listing of each of the requests recently made public as well as the identification of the requesting party follows hereafter:

AOR 1977-45. May a candidate for Federal office receive compensation from his newspaper employer for writing editorials and soliciting advertising for the newspaper which compensation takes the form of credits to an account, based upon the fair market value of work performed, until he officially announces candidacy, and then obtain campaign advertising space in the newspaper by debiting such account until it is depleted? In these circumstances would the publisher be making a gift or in-kind contribution under 2 U.S.C. § 441a? If proper, how should the transactions be reflected on reports filed pursuant to 2 U.S.C. § 434?

Requested by Franklin S. Adler on behalf of Terry Martin, candidate for the House of Representatives, Los Angeles, Calif.

AOR 1977-46. May a Member of Congress, who did not earn the maximum permissible amount of honoraria in 1976, receive in January and February of 1977 honoraria for appearances made in December 1976 without such honoraria counting against the 1977 limit?

Requested by James M. Sparling, Jr., on behalf of Representative Vander Jagt, United States House of Representatives, Washington, D.C.

AOR 1977-47. May a Senator, whose term expires in 1978 and who has announced his decision not to run for reelection, terminate his campaign committee which has surplus funds remaining from a 1972 election campaign or should it continue to report until a later time? May the surplus funds be legally used by the Senator for entertainment of constituents, or motel and travel costs incurred by him and his wife for travel to or in Wyoming?

Requested by Clifford P. Hansen, United States Senator, Washington, D.C.

AOR 1977-48. May the principal campaign committee of a candidate in a special primary and general election use excess campaign funds for the purpose of retiring an outstanding campaign debt incurred in connection with an election for State office in 1976 in circumstances where the same individual was a candidate in both the special Federal election and the State election?

Requested by Joan Singler, Treasurer, Durning for Congress Committee, Seattle, Wash.

Dated: September 26, 1977.

THOMAS E. HARRIS,
Chairman for the
Federal Election Commission.

[FR Doc.77-28674 Filed 9-28-77;8:45 am]

federal register

THURSDAY, SEPTEMBER 29, 1977

PART VII



DEPARTMENT OF THE INTERIOR

Fish and Wildlife Service

■

ENDANGERED AND THREATENED SPECIES PERMIT

Receipt of Application

[4310–10]

DEPARTMENT OF THE INTERIOR

Fish and Wildlife Service

ENDANGERED SPECIES PERMIT

Beardsley Zoological Gardens; Notice of Receipt of Application

Notice is hereby given that the following application for a permit is deemed to have been received under section 10 of the Endangered Species Act of 1973 (Pub. L. 93–205).

Applicant: Beardsley Zoological Gardens, Noble Avenue, Bridgeport, Conn. 06610; Richard G. Sweeney, Director.

OMB NO. 42-R1670

DEPARTMENT OF THE INTERIOR
U.S. FISH AND WILDLIFE SERVICE

FEDERAL FISH AND WILDLIFE
LICENSE/PERMIT APPLICATION

1. APPLICATION FOR (Indicate only one)
☐ IMPORT OR EXPORT LICENSE ☒ PERMIT

2. BRIEF DESCRIPTION OF ACTIVITY FOR WHICH REQUESTED LICENSE OR PERMIT IS NEEDED.
To obtain one pair of Mandrill (Papio sphinx) from the Gladys Porter Zoo, Brownsville, Tx. for the purpose of Captive propogation.

3. APPLICANT. (Name, complete address and phone number of individual, business, agency, or institution for which permit is requested)
Beardsley Zoological Gardens
Noble Avenue
Bridgeport, Ct. 06610
(203) 576-8082

4. IF "APPLICANT" IS AN INDIVIDUAL, COMPLETE THE FOLLOWING:
☐ MR. ☐ MRS. ☐ MISS ☐ MS.
HEIGHT | WEIGHT
DATE OF BIRTH | COLOR HAIR | COLOR EYES
PHONE NUMBER WHERE EMPLOYED | SOCIAL SECURITY NUMBER
OCCUPATION
ANY BUSINESS, AGENCY, OR INSTITUTIONAL AFFILIATION HAVING TO DO WITH THE WILDLIFE TO BE COVERED BY THIS LICENSE/PERMIT

5. IF "APPLICANT" IS A BUSINESS, CORPORATION, PUBLIC AGENCY, OR INSTITUTION, COMPLETE THE FOLLOWING:
EXPLAIN TYPE OR KIND OF BUSINESS, AGENCY, OR INSTITUTION
Public Zoo
NAME, TITLE, AND PHONE NUMBER OF PRESIDENT, PRINCIPAL OFFICER, DIRECTOR, ETC.
Richard G. Sweeney, Dir.(203) 576-808
IF "APPLICANT" IS A CORPORATION, INDICATE STATE IN WHICH INCORPORATED

6. LOCATION WHERE PROPOSED ACTIVITY IS TO BE CONDUCTED

7. DO YOU HOLD ANY CURRENTLY VALID FEDERAL FISH AND WILDLIFE LICENSE OR PERMIT? ☒ YES ☐ NO
(If yes, list license or permit numbers)
13-SP-6 Bo

8. IF REQUIRED BY ANY STATE OR FOREIGN GOVERNMENT, DO YOU HAVE THEIR APPROVAL TO CONDUCT THE ACTIVITY YOU PROPOSE? ☐ YES ☐ NO
(If yes, list jurisdictions and type of documents)

LE TO THE U.S. FISH AND WILDLIFE SERVICE ENCLOSED IN AMOUNT OF
$

10. DESIRED EFFECTIVE DATE
8/1/77

11. DURATION NEEDED
one year

12. ATTACHMENTS. THE SPECIFIC INFORMATION REQUIRED FOR THE TYPE OF LICENSE/PERMIT REQUESTED (See 50 CFR 13.12(a)) MUST BE ATTACHED, IT CONSTITUTES AN INTEGRAL PART OF THIS APPLICATION. LIST SECTIONS OF 50 CFR UNDER WHICH ATTACHMENTS ARE PROVIDED.
Attachment: Subpart C 17.22

CERTIFICATION

I HEREBY CERTIFY THAT I HAVE READ AND AM FAMILIAR WITH THE REGULATIONS CONTAINED IN TITLE 50, PART 13, OF THE CODE OF FEDERAL REGULATIONS AND THE OTHER APPLICABLE PARTS IN SUBCHAPTER B OF CHAPTER I OF TITLE 50, AND I FURTHER CERTIFY THAT THE INFORMATION SUBMITTED IN THIS APPLICATION FOR A LICENSE/PERMIT IS COMPLETE AND ACCURATE TO THE BEST OF MY KNOWLEDGE AND BELIEF. I UNDERSTAND THAT ANY FALSE STATEMENT HEREIN MAY SUBJECT ME TO THE CRIMINAL PENALTIES OF 18 U.S.C. 1001.

SIGNATURE (In ink) — DATE
Richard G. Sweeney — 6/15/77

3-200
(6/74)

Attachment: Subpart C. Sec. 17.22

(a1) Permits are sought for the purchase and transport of one (1) pair (male and female) of mandrills (Papio sphinx), both approximately one year old, from the Gladys Porter Zoo, 500 Ringgold St., Brownsville, Tex. 78520, for the purpose of captive propagation and public exhibit.

(a2) The mandrills sought at time of application were born in, and have remained in, captivity at the Gladys Porter Zoo, Brownsville, Tex.

(a3) The mandrills will be transported in a fashion to assure their safe arrival in Bridgeport, and in a fashion that will not cause their death. Transport will be by air flight not to exceed 24 hours in duration.

(a4) The mandrills were born in captivity at the Gladys Porter Zoo, Brownsville, Tex., U.S.A.

(a5) The mandrills will be maintained on public exhibit at Beardsley Zoological Gardens, Noble Avenue, Bridgeport, Conn. 06610, U.S.A. Beardsley Zoological Gardens is a municipally operated zoo, assisted by the Connecticut Zoological Society, a non-profit organization. It is also an institution member of the American Association of Zoological Parks and Aquariums, and holds USDA Exhibitor License No. 16–c–2.

(a6i) The mandrills will be housed in an indoor enclosure measuring 30 ft. in length, 12 ft. in width, and 12 ft. in height. Off exhibit are two bedrooms, which each measure 8 ft. in length, 6 ft. in width, and 12 ft. in height. The bedrooms are separated by metal sliding shift doors. The exhibit contains a protected skylight allowing access to sunlight. (See diagram of exhibit attached.)

(a6ii) This will be the first time mandrills have been kept at Beardsley Zoological Gardens. We currently have several primate species in our collection including: Hanuman's langurs (*Presbytus entellus*); ringtailed lemurs (*Lemur catta*); common marmosets (*Callithrix jacchus*); spider monkeys (*Ateles paniscus*); squirrel monkeys (*Saimiri Sciureus*); woolly monkeys (*Lagothrix lagothrica*); and thick-tailed galago (*Galago senegalensis*). Our primates are cared for primarily by two keepers with ten years of combined primate experience. We have achieved success in breeding spider and squirrel monkeys, and, ring-tailed lemurs. We are anticipating births in our langurs and lemurs.

(a6iii) We are willing to participate in cooperative breeding programs, and to maintain or contribute data to a studbook.

(a6iv) The transport crates, provided by Gladys Porter Zoo, will be of adequate wood construction measuring approximately 3' x 3' x 3', and will conform to IATA specifications. The animals will be transported in separate crates with either dropping trays or absorbent material available for urine and fecal material. Drinking vessels will be provided. The mandrills will be transported via air to either Bradley Airport, Hartford, Conn., or J. F. K., New York City, and then transported via zoo truck to Beardsley Zoo.

(a6v) Not applicable.

(a7) The mandrills will be purchased from the Gladys Porter Zoo for a price of $800 for the pair. Shipment of the animals will be effective thirty (30) days of permit approval date.

(a8) Beardsley Zoological Gardens is justified in obtaining permits for mandrills because we have shown the ability to successfully maintain primate breeding colonies. Our primary concern as a zoological facility is for the propogation of all species, but most importantly for endangered species.

We feel we can enhance the chances of the species' survival by maintaining them in our facility.

(a8i–ii) Permits are sought for maintaining mandrills (*Papio sphinx*) for captive propagation and public exhibit. Efforts at captive propagation will be made by employing sound husbandry practices. We have found that maintaining proper sex ratios, uncrowded and comfortable living quarters, and occasional isolation from the public to be great assets in primate reproduction. All necessary steps will be taken to assure reproduction in mandrills at Beardsley Zoo.

(a8iii) Mandrills are listed as endangered throughout their native range. As man encroaches upon their territory, the chances for species survival is drastically reduced. Efforts at captive propagation, whether in a large or small zoo, is one, positive answer to species survival. Beardsley Zoological Gardens is equipped to handle the Papio species through its adequate exhibit space that provides room for exercise, privacy and appropriate year-round environmental conditions. Zoos throughout the world have exhibited the ability to successfully breed mandrills, and to insure their lives, in some cases up to twenty-seven (27) years. Naturally, all steps taken at Beardsley Zoological Gardens for reproduction would enhance chances of survival for this species.

(a8iv) Offspring would be maintained at Beardsley Zoological Gardens as long as space allows. Should space eventually limit us, future offspring would be dispersed to other zoological facilities at the USDI's approval.

Documents and other information submitted in connection with this application are available for public inspection during normal business hours at the Service's office in Room 512, 1717 H Street NW., Washington, D.C.

Interested persons may comment on this application by submitting written data, views, or arguments, preferably in triplicate, to the Director (FWS/WPO), U.S. Fish and Wildlife Service, Washington, D.C. 20240. This application has been assigned File Number PRT 2-1249-07; please refer to this number when submitting comments. All relevant comments received on or before October 31, 1977 will be considered.

Dated: September 23, 1977.

DONALD G. DONAHOO,
Chief, Permit Branch, Federal Wildlife Permit Office, U.S. Fish and Wildlife Service.

[FR Doc.77-28192 Filed 9-28-77;8:45 am]

ENDANGERED SPECIES PERMIT

F. M. Driscoll; Notice of Receipt of Application

Notice is hereby given that the following application for a permit is deemed to have been received under section 10 of the Endangered Species Act of 1973 (Pub. L. 93-205).

Applicant: F. M. Driscoll, Lexington Pheasantry, 219 Cowlitz Drive, Kelso, Wash. 98626.

OMB NO. 42-R1570

DEPARTMENT OF THE INTERIOR
U.S. FISH AND WILDLIFE SERVICE

FEDERAL FISH AND WILDLIFE LICENSE/PERMIT APPLICATION

1. APPLICATION FOR (...ate only one)
☐ IMPORT OR EXPORT LICENSE ☒ PERMIT

2. BRIEF DESCRIPTION OF ACTIVITY FOR WHICH REQUESTED LICENSE OR PERMIT IS NEEDED.
In order to obtain a White Eared Pheasant cock of the same specie as the hen that I have now but from different parental stock so as to have future unrelated breeding stock.

3. APPLICANT. (Name, complete address and phone number of individual, business, agency, or institution for which permit is requested)
F. M. Driscoll
Lexington Pheasantry
219 Cowlitz Drive
Kelso, Washington 98626
Phone: (206)423-2460

4. IF "APPLICANT" IS AN INDIVIDUAL, COMPLETE THE FOLLOWING:
☒ MR. ☐ MRS. ☐ MISS ☐ MS.
HEIGHT: 5'10½" WEIGHT: 170
DATE OF BIRTH: 30 July 1920
COLOR HAIR: Grey COLOR EYES: Brown
PHONE NUMBER WHERE EMPLOYED: (206)425-1550
SOCIAL SECURITY NUMBER: 538-03-4467
OCCUPATION: Lead Order Writer
Longview Fibre Co (Paper Mill)

5. IF "APPLICANT" IS A BUSINESS, CORPORATION, PUBLIC AGENCY, OR INSTITUTION, COMPLETE THE FOLLOWING:
EXPLAIN TYPE OF BUSINESS, AGENCY, OR INSTITUTION
Does not apply

ANY BUSINESS, AGENCY, OR INSTITUTIONAL AFFILIATION HAVING TO DO WITH THE WILDLIFE TO BE COVERED BY THIS LICENSE/PERMIT
Does not apply

NAME, TITLE, AND PHONE NUMBER OF PRESIDENT, PRINCIPAL OFFICER, DIRECTOR, ETC.
Does not apply

IF "APPLICANT" IS A CORPORATION, INDICATE STATE IN WHICH INCORPORATED
Does not apply

6. LOCATION WHERE PROPOSED ACTIVITY IS TO BE CONDUCTED
a. Breeding endangered species of pheasants at my pheasantry at 219 Cowlitz Drive, Kelso, Washington 98626
b. Buying and selling endangered specie pheasants, primarily from Devlin, Ontario, Canada to Washington state.

7. DO YOU HOLD ANY CURRENTLY VALID FEDERAL FISH AND WILDLIFE LICENSE OR PERMIT? ☒ YES ☐ NO
(If yes, list license or permit numbers)
1-PR-516

8. IF REQUIRED BY ANY STATE OR FOREIGN GOVERNMENT, DO YOU HAVE THEIR APPROVAL TO CONDUCT THE ACTIVITY YOU PROPOSE? ☒ YES ☐ NO
(If yes, list jurisdictions and type of documents)
State of Washington Commercial Game Farm License No. GF 77 00011

9. CERTIFIED CHECK OR MONEY ORDER (if applicable) PAYABLE TO THE U.S. FISH AND WILDLIFE SERVICE ENCLOSED IN AMOUNT OF
$

10. DESIRED EFFECTIVE DATE: 1 Dec 1977

11. DURATION NEEDED: 5 years, or for as long as possible

12. ATTACHMENTS. THE SPECIFIC INFORMATION REQUIRED FOR THE TYPE OF LICENSE/PERMIT REQUESTED (See 50 CFR 13.12(a)) MUST BE ATTACHED, IT CONSTITUTES AN INTEGRAL PART OF THIS APPLICATION. LIST SECTIONS OF 50 CFR UNDER WHICH ATTACHMENTS ARE PROVIDED.
50 CFR Part 17.22 Permits for scientific purposes or for the enhancement of propagation or survival

CERTIFICATION

I HEREBY CERTIFY THAT I HAVE READ AND AM FAMILIAR WITH THE REGULATIONS CONTAINED IN TITLE 50, PART 13, OF THE CODE OF FEDERAL REGULATIONS AND THE OTHER APPLICABLE PARTS IN SUBCHAPTER B OF CHAPTER I OF TITLE 50, AND I FURTHER CERTIFY THAT THE INFORMATION SUBMITTED IN THIS APPLICATION FOR A LICENSE/PERMIT IS COMPLETE AND ACCURATE TO THE BEST OF MY KNOWLEDGE AND BELIEF. I UNDERSTAND THAT ANY FALSE STATEMENT HEREIN MAY SUBJECT ME TO THE CRIMINAL PENALTIES OF 18 U.S.C. 1001.

SIGNATURE (In ink) F. M. Driscoll
DATE: 5 September 1977

3-200
(8/74)
GPO 895-042

(1) Pheasants. White Eared (Crossoptilon crossoptilon) 1 male. I would like to be able to buy and sell these birds for propagation purposes and to get new blood to help keep the stock strong.

(2) (iii) Wildlife—born in captivity.

(3) By acquiring the above pheasant that was raised in captivity by breeders in Canada. By having the above shipped in padded crates to avoid any possible chance of injury.

(4) The White Eared pheasant I would like to acquire was raised in captivity by Mr. Jack Schuiteman, R.R. No. 2 Devlin, Ontario, Canada.

(5) The pheasants are and will be housed in my aviaries at 219 Cowlitz Drive, Kelso, Wash. 98626. These aviaries are planted with trees and shrubs to help insure the contentment of the birds, and a fence has been installed completely around our property which covers 2 acres.

(6) (i) Our pheasantry consists of 15 pens measuring 8' wide by 6' high by 16' long, 23 pens measuring 8' wide by 6' high by 24' long, 2 pens measuring 12' wide by 35' long by 12' high, one flight pen measuring 12' wide by 7' high by 80' long, 8 pens measuring 9' long by 6' high by 8' wide, and a Java Green Peafowl pen measuring approximately 7' high by 25' wide by 25' long, plus a completely enclosed house for their protection in inclement weather. All pheasant pens are constructed using creosoted 8'' x 8'' x 8' long or 15' long railroad ties. The house at the back of each pen is constructed of ½'' exterior plywood with roofs measuring 8' and 12' in width and covered by 80 lb. roofing paper and covered with tar. All pens are completely enclosed with 1'' mesh poultry netting, or 1'' x 2'' welded heavy gauge wire. The railroad ties are used for support posts and ground runners and a profile drawing is shown below.



All inclement weather comes from the southwest and our aviaries are constructed so that our birds have maximum protection from inclement weather yet ample shade in the summer months. We are soon to begin a completely rewired program in which 1'' x 2'' welded heavy gauge wire will be on the outside of all of our aviaries.

(ii) I have been raising rare ornamental pheasants and imported Java Green Peafowl for 6 years and have raised young Edwards, Mikado, Elliots, Satyr and Temminck Tragopan, Scintillating and Ijima Coppers, Silvers, Golden, Impeyan, Blue and Brown Eared Manchurian and Java Green Peafowl.

(iii) I would be only too willing to cooperate in a breeding program and keep accurate records as I am convinced that the only reason some species exist today is because of the unselfish and dedicated efforts of breeders who hatched and raised them in captivity.

(iv) The containers used for shipping are 12'' wide, 18'' high, and 24'' long, constructed of Masonite with the top of the inside lined with 1'' foam rubber. Water and feed are placed in each container. The maximum time the birds would be contained in this shipping container would be 36 hours.

(v) I have been extremely fortunate in that I have lost very few birds; however, I have not lost a single bird to disease. My losses have been due to young becoming chilled when electric power is lost in a brooder, attack from another in the brooder or shortly after being placed in outside pens, breaking a neck by flying into top wire and one cock that escaped when the gate opened due to the eye pulling loose from the wood frame at the gate and is covered in my letter

to your department dated August 29, 1977, PRT 8-407. All of my pens are cleaned monthly, weather permitting, disinfected twice yearly, and medicated water is supplied once a month. Our birds are fed the very finest game bird food that I can purchase, given ample fruit and berries in season and a commercial game bird grit is supplied at all times. Our ground is a sandy loam with excellent drainage so that our birds do not wallow in mud. When young birds are placed in outside pens they are frequently clipped on one wing to prevent their flying into the wire if they become spooked in a new environment.

(7) There are no contracts or agreements. As previously stated, if I am issued the permit I plan to obtain a White Eared Pheasant cock from Mr. Jack Schuiteman, R.R. No. 2 Devlin, Ontario, Canada.

(8) (i) I plan on keeping, breeding, buying, and selling for propagation purposes Edwards, Mikado, Brown and White Eared Manchurian and Elliots pheasants.

(ii) and (iii) I will supply adequate pens, housing, feed and care to insure the birds contentment in captivity in order that they will breed and keep the specie going. My children and their children will have watched them grow and produce young, and they are a living thing instead of just a picture in a book.

(iv) My birds are therapy to me and a way of life to all of my family; however, I know that one day the time will come when I may not be able to care for them in a manner they deserve. Then, and only then, will I dispose of them to a very few of my very closest and dearest friends in the pheasant fancy who are completely qualified to care for them.

Respectfully submitted.

F. M. (CHICK) DRISCOLL.

Documents and other information submitted in connection with this application are available for public inspection during normal business hours at the Service's office in Room 512, 1717 H Street NW., Washington, D.C.

Interested persons may comment on this application by submitting written data, views, or arguments, preferably in triplicate, to the Director (FWS/WPO), U.S. Fish and Wildlife Service, Washington, D.C. 20240. This application has been assigned File Number PRT 2-1397-C07; please refer to this number when submitting comments. All relevant comments received on or before October 31, 1977.

Date: September 23, 1977.

DONALD G. DONAHOO,
Chief, Permit Branch, Federal Wildlife Permit Office, U.S. Fish and Wildlife Service.

[FR Doc.77-28194 Filed 9-28-77;8:45 am]

[4310-10]

ENDANGERED SPECIES PERMIT

George Olson; Notice of Receipt of Application

Notice is hereby given that the following application for a permit is deemed to have been received under section 10 of the Endangered Species Act of 1973 (Pub. L. 93-205).

Applicant: George Olson, Forest Supervisor, National Forests in North Carolina, P.O. Box 2750, Asheville, N.C. 28802.

DEPARTMENT OF THE INTERIOR
U.S. FISH AND WILDLIFE SERVICE

FEDERAL FISH AND WILDLIFE LICENSE/PERMIT APPLICATION

1. APPLICATION FOR (Indicate only one) -
☐ IMPORT OR EXPORT LICENSE ☒ PERMIT

2. BRIEF DESCRIPTION OF ACTIVITY FOR WHICH REQUESTED LICENSE OR PERMIT IS NEEDED.
Attempt to verify presence of *Felis concolor cougar* or other subspecies of cougar in National Forests in North Carolina. Through the use of trained lion dogs and a professional hunter.

3. APPLICANT. (Name, complete address and phone number of individual, business, agency, or institution for which permit is requested)
George Olson
Forest Supervisor
National Forests in North Carolina
P.O. Box 2750
Asheville NC 28802

4. IF "APPLICANT" IS AN INDIVIDUAL, COMPLETE THE FOLLOWING:
☐ MR. ☐ MRS. ☐ MISS ☐ MS.
HEIGHT | WEIGHT
DATE OF BIRTH | COLOR HAIR | COLOR EYES
PHONE NUMBER-WHERE EMPLOYED | SOCIAL SECURITY NUMBER
OCCUPATION

5. IF "APPLICANT" IS A BUSINESS, CORPORATION, PUBLIC AGENCY, OR INSTITUTION, COMPLETE THE FOLLOWING:
EXPLAIN TYPE OR KIND OF BUSINESS, AGENCY, OR INSTITUTION
Management of National Forest lands for multiple use under the Forest Management Act of 1976 and other authorities.

ANY BUSINESS, AGENCY, OR INSTITUTIONAL AFFILIATION HAVING TO DO WITH THE WILDLIFE TO BE COVERED BY THIS LICENSE/PERMIT
North Carolina Wildlife Resources Commission, Raleigh, NC

NAME, TITLE, AND PHONE NUMBER OF PRESIDENT, PRINCIPAL OFFICER, DIRECTOR, ETC.
N/A

IF "APPLICANT" IS A CORPORATION, INDICATE STATE IN WHICH INCORPORATED
N/A

6. LOCATION WHERE PROPOSED ACTIVITY IS TO BE CONDUCTED
Nantahala and Pisgah National Forests, North Carolina

7. DO YOU NOW HAVE ANY CURRENTLY VALID FEDERAL FISH AND WILDLIFE LICENSE OR PERMIT? ☐ YES ☒ NO
(If yes, list license or permit number)

8. IF REQUIRED BY ANY STATE OR FOREIGN GOVERNMENT, DO YOU HAVE THEIR APPROVAL TO CONDUCT THE ACTIVITY YOU PROPOSE? ☐ YES ☒ NO
(If yes, list jurisdiction and type of document)
North Carolina Wildlife Resources Comm. Have requested permission in writing-reply not yet received.

9. CERTIFIED CHECK OR MONEY ORDER (if applicable) PAYABLE TO THE U.S. FISH AND WILDLIFE SERVICE ENCLOSED IN AMOUNT OF
None required

10. DESIRED EFFECTIVE DATE
29 Sept. 1977

11. DURATION NEEDED
180 Days

12. ATTACHMENTS. THE SPECIFIC INFORMATION REQUIRED FOR THE TYPE OF LICENSE/PERMIT AS REQUESTED (See 50 CFR 13.12(a)) MUST BE ATTACHED. IT CONSTITUTES AN INTEGRAL PART OF THIS APPLICATION. LIST SECTIONS OF 50 CFR UNDER WHICH ATTACHMENTS ARE PROVIDED.
17.22

CERTIFICATION

I HEREBY CERTIFY THAT I HAVE READ AND AM FAMILIAR WITH THE REGULATIONS CONTAINED IN TITLE 50, PART 13, OF THE CODE OF FEDERAL REGULATIONS AND THE OTHER APPLICABLE PARTS IN SUBCHAPTER B OF CHAPTER I OF TITLE 50, AND I FURTHER CERTIFY THAT THE INFORMATION SUBMITTED IN THIS APPLICATION FOR A LICENSE/PERMIT IS COMPLETE AND ACCURATE TO THE BEST OF MY KNOWLEDGE AND BELIEF. I UNDERSTAND THAT ANY FALSE STATEMENT HEREIN MAY SUBJECT ME TO THE CRIMINAL PENALTIES OF 18 U.S.C. 1001.

SIGNATURE | DATE
George A. Olson | August 31, 1977

12. ATTACHMENTS.

(1) *Felis concolor cougar*, eastern cougar. *Felis concolor coryi*, Florida panther. The number, sex, and ages of animals are unspecified.

(2) Application is for activities related to cougars in the wild. The origin of cougars, if they exist in the wild, is unknown. An examination of bounty records for the period 1700–1800 suggests that cougars once occurred throughout the State.

(3) Most probable source of injury or mortality is mauling of young lions by the hounds. We expect to minimize this hazard by close surveillance and the use of only two hounds. If available, a transmitter will be attached to one of the dogs to facilitate tracking.

(4) Not applicable.

(5) Not applicable.

(I) Not applicable.

(II) Chuck Anderson is a professional lion hunter from Castle Rock, Colo. He has assisted Dr. Kenneth Russell, U.S. Fish and Wildlife Service, Fort Collins, Colo., by locating lions for research purposes. In the course of two seasons Mr. Anderson located and assisted in the capture of 27 lions for Dr. Russell's research.

(III) Not applicable.

(IV) Not applicable.

(V) None.

(7) Copy of Purchase Order for services is attached. Period of services to be September 29, 1977 to November 12, 1977, with provisions to negotiate further service periods depending on initial success. Field operations will be supervised by Ben. A. Sanders, Wildlife Biologist, National Forests in North Carolina.

Documents and other information submitted in connection with this application are available for public inspection during normal business hours at the Service's office in Room 512, 1717 H Street NW., Washington, D.C.

Interested persons may comment on this application by submitting written data, views, or arguments, preferably in triplicate, to the Director (FWS/WPO), U.S. Fish and Wildlife Service, Washington, D.C. 20240. This application has been assigned Filed Number PRT 2–1387–07; please refer to this number when submitting comments. All relevant comments received on or before October 31, 1977.

Dated: September 23, 1977.

DONALD G. DONAHOO,
Chief, Permit Branch, Federal Wildlife Permit Office, U.S. Fish and Wildlife Service.

[FR Doc.77–28196 Filed 9–28–77;8:45 am]

ENDANGERED SPECIES PERMIT

Mark Louis Weber; Notice of Receipt of Application

Notice is hereby given that the following application for a permit is deemed to have been received under section 10 of the Endangered Species Act of 1973 (Pub. L. 93–205).

Applicant: Mark Louis Weber, 1716 South 25th Street, Manitowoc, Wis. 54220.

OMB NO. 42-R1670

DEPARTMENT OF THE INTERIOR
U.S. FISH AND WILDLIFE SERVICE

FEDERAL FISH AND WILDLIFE LICENSE/PERMIT APPLICATION

1. APPLICATION FOR (Indicate only one)
☐ IMPORT OR EXPORT LICENSE ☑ PERMIT

2. BRIEF DESCRIPTION OF ACTIVITY FOR WHICH REQUESTED LICENSE OR PERMIT IS NEEDED.
To be allowed to buy Scarlet-chested and Turquoise Parakeets. I am interested in propagating the above species to insure their survival

3. APPLICANT. (Name, complete address and phone number of individual, business, agency, or institution for which permit is requested)
MARK LOUIS WEBER
1716 South 25 St.
Manitowoc, Wisconsin
PH-414-684-6416 54220

4. IF "APPLICANT" IS AN INDIVIDUAL, COMPLETE THE FOLLOWING:
☑ MR. ☐ MRS. ☐ MISS ☐ MS.
HEIGHT 5'10" WEIGHT 150
DATE OF BIRTH 9-2-52
COLOR HAIR Brown COLOR EYES Brown
PHONE NUMBER WHERE EMPLOYED 715-682-8571
SOCIAL SECURITY NUMBER 397-52-9957
OCCUPATION Student

5. IF "APPLICANT" IS A BUSINESS, CORPORATION, PUBLIC AGENCY, OR INSTITUTION, COMPLETE THE FOLLOWING:
EXPLAIN TYPE OR KIND OF BUSINESS, AGENCY, OR INSTITUTION
No

ANY BUSINESS, AGENCY, OR INSTITUTIONAL AFFILIATION HAVING TO DO WITH THE WILDLIFE TO BE COVERED BY THIS LICENSE/PERMIT
No

NAME, TITLE, AND PHONE NUMBER OF PRESIDENT, PRINCIPAL OFFICER, DIRECTOR, ETC.
No

IF "APPLICANT" IS A CORPORATION, INDICATE STATE IN WHICH INCORPORATED
No

6. LOCATION WHERE PROPOSED ACTIVITY IS TO BE CONDUCTED
1716 S. 25 St.
Manitowoc, Wisconsin
54220

7. DO YOU HOLD ANY CURRENTLY VALID FEDERAL FISH AND WILDLIFE LICENSE OR PERMIT? ☑ YES ☐ NO
(If yes, list license or permit numbers)
Federal Waterfowl
PRT 2-1115-TH

8. IF REQUIRED BY ANY STATE OR FOREIGN GOVERNMENT, DO YOU HAVE THEIR APPROVAL TO CONDUCT THE ACTIVITY YOU PROPOSE? ☑ YES ☐ NO
(If yes, list jurisdictions and type of documents)
I hold a State Game Farm and a Federal Waterfowl permit

9. CERTIFIED CHECK OR MONEY ORDER (if applicable) PAYABLE TO THE U.S. FISH AND WILDLIFE SERVICE ENCLOSED IN AMOUNT OF
$

10. DESIRED EFFECTIVE DATE As soon as possible, 1-2-78

11. DURATION NEEDED
5 yrs (or as long as possible)

12. ATTACHMENTS. THE SPECIFIC INFORMATION REQUIRED FOR THE TYPE OF LICENSE/PERMIT REQUESTED (See 50 CFR 13.12(b)) MUST BE ATTACHED, IT CONSTITUTES AN INTEGRAL PART OF THIS APPLICATION. LIST SECTIONS OF 50 CFR UNDER WHICH ATTACHMENTS ARE PROVIDED.
50 CFR Permits for Scientific purposes, or for Part 17.22 the enhancement of propagation or survival

CERTIFICATION

I HEREBY CERTIFY THAT I HAVE READ AND AM FAMILIAR WITH THE REGULATIONS CONTAINED IN TITLE 50, PART 13, OF THE CODE OF FEDERAL REGULATIONS AND THE OTHER APPLICABLE PARTS IN SUBCHAPTER B OF CHAPTER I OF TITLE 50, AND I FURTHER CERTIFY THAT THE INFORMATION SUBMITTED IN THIS APPLICATION FOR A LICENSE/PERMIT IS COMPLETE AND ACCURATE TO THE BEST OF MY KNOWLEDGE AND BELIEF. I UNDERSTAND THAT ANY FALSE STATEMENT HEREIN MAY SUBJECT ME TO THE CRIMINAL PENALTIES OF 18 U.S.C. 1001.

SIGNATURE (In ink) [signature] DATE 6-7-77

3-200
16/240

INFORMATION REQUIRED BY PERMIT No. 17.22

1. Parakeets: Scarlet-chested (Neophema splendida) 1 male, 1 female; Turquoise (Neopheha pulchella) 1 male, 1 female. Would like to purchase one pair of each. Would like to be allowed to buy and sell the above for propagation purposes and to obtain new blood to keep the stock strong.

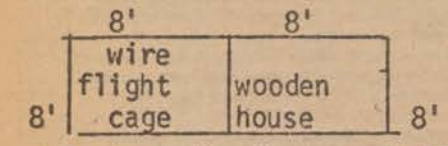
2. Wildlife—born in captivity.

3. By purchasing the above parakeets that were raised in captivity from breeders in the States. By having the above shipped or sent in padded crates to avoid any injury.

4. The Scarlet-chested and Turquoise parakeets I would like to purchase were raised in captivity by Vera Rosenkranz, Westchester, Ill.

5. The birds will be kept at my house. My outside aviary is an 8' x 8' house with an outdoor wire cage, 8' x 8', which will be supplemented with shrubs and trees to insure contentment of the birds. During the winter months the birds will be kept indoors in my large flight cage, 4' x 4', at 1716 South 25 Street, Manitowoc, Wis.

6. i. My outside aviary is an 8' x 8' house with an attached 8' x 8' wire flight cage. My wire cage will be plated with vines and shrubs for a natural setting which the parakeets should enjoy.



ii. I've been raising different species for about ten years. Wild waterfowl have been my main interest up till the present, but I've also raised rare quail, partridge, grouse, finches, parakeets, pigeons, and bantam chickens. I really enjoy raising birds, they are a very important part of my life.

iii. I would be more than willing to cooperate in a breeding program and keep accurate records as I believe the only reason some species exist today is from the dedicated people who raised them in captivity.

iv. The containers used for shipping are 1 foot wide, 18 inches high, and 2 feet long, made of wood, and lined with foam rubber. Feed and water are placed in each box. The duration the birds would be in a box would be approximately four to six hours.

v. I've been very fortunate that I have lost very few birds. I lost some young one year when an electrical storm cut off our electricity, chilling the birds and resulting in several deaths. Also several species of rare quail have a tendency toward cannibalism, which is an inherited characteristic. I've lost several this way. My mortality ratio is always few and far between, nothing like preventative practices to insure healthy birds. I clean my pens every month and disinfect the pens every three months. My birds receive medicated feed and water to prevent loss.

7. There are no contracts or agreements. As I stated earlier, if I get the permit, I will purchase the Scarlet-chested and Turquoise parakeets from Vera Rosenkranz, Westchester, Illinois.

8. i. I plan on keeping, breeding, buying and selling for propagation only, Scarlet-chested and Turquoise parakeets.

ii. and iii. I will supply adequate pens, housing, feed, and care to insure the bird's contentment in captivity, in order that they will breed to insure the species survival. Perhaps through careful breeding, care, and love these species of parakeets will endure for all to enjoy. With the growing world population, the only way any of these birds will be saved is by captive propagation.

iv. If I should decide to quite raising birds I would sell them to other breeders whom I felt were capable of raising them. However, since my love for raising birds in general is great, I feel this is a remote possibility.

Documents and other information submitted in connection with this application are available for public inspection during normal business hours at the Service's office in Room 512, 1717 H Street NW., Washington, D.C.

Interested persons may comment on this application by submitting written data, views, or arguments, preferably in triplicate, to the Director (FWS/WPO), U.S. Fish and Wildlife Service, Washington, D.C. 20240. This application has been assigned File Number PRT 2-1425-C07; please refer to this number when submitting comments. All relevant comments received on or before October 31, 1977.

Dated: September 23, 1977.

DONALD G. DONAHOO,
Chief, Permit Branch, Federal Wildlife Permit Office, U.S. Fish and Wildlife Service.

[FR Doc.77-28197 Filed 9-28-77;8:45 am]

[4310-10]

ENDANGERED SPECIES PERMIT

Maurice F. Mettee; Notice of Receipt of Application

Notice is hereby given that the following application for a permit is deemed to have been received under section 10 of the Endangered Species Act of 1973 (Pub. L. 93-205).

Applicant: Dr. Maurice F. Mettee, Geological Survey of Alabama, P.O. Drawer O, University, Ala. 35486.

OMB NO. 42-R1670

DEPARTMENT OF THE INTERIOR
U.S. FISH AND WILDLIFE SERVICE

FEDERAL FISH AND WILDLIFE LICENSE/PERMIT APPLICATION

1. APPLICATION FOR (*Indicate only one*)
☐ IMPORT OR EXPORT LICENSE ☒ PERMIT

2. BRIEF DESCRIPTION OF ACTIVITY FOR WHICH REQUESTED LICENSE OR PERMIT IS NEEDED.
1) To monitor sympatric populations of Okaloosa and Brown darters;
2) To monitor populations of Okaloosa darters in streams where habitat disruption has occurred.

3. APPLICANT. (*Name, complete address and phone number of individual, business, agency, or institution for which permit is requested*)
Dr. Maurice F. Mettee
Geological Survey of Alabama
P.O. Drawer O
University, AL 35486

4. IF "APPLICANT" IS AN INDIVIDUAL, COMPLETE THE FOLLOWING:

	HEIGHT	WEIGHT
X Dr. ☐MR. ☐MRS. ☐MISS ☐MS.	6'	195
DATE OF BIRTH: 4-28-43	COLOR HAIR: Brown	COLOR EYES: Brown
PHONE NUMBER WHERE EMPLOYED: 205/349-2852	SOCIAL SECURITY NUMBER: 418-58-2467	

OCCUPATION: Ichthyologist

ANY BUSINESS, AGENCY, OR INSTITUTIONAL AFFILIATION HAVING TO DO WITH THE WILDLIFE TO BE COVERED BY THIS LICENSE/PERMIT: None

5. IF "APPLICANT" IS A BUSINESS, CORPORATION, PUBLIC AGENCY, OR INSTITUTION, COMPLETE THE FOLLOWING:
EXPLAIN TYPE OR KIND OF BUSINESS, AGENCY, OR INSTITUTION: Not Applicable

NAME, TITLE, AND PHONE NUMBER OF PRESIDENT, PRINCIPAL OFFICER, DIRECTOR, ETC.: Not Applicable

IF "APPLICANT" IS A CORPORATION, INDICATE STATE IN WHICH INCORPORATED: Not Applicable

6. LOCATION WHERE PROPOSED ACTIVITY IS TO BE CONDUCTED: Okaloosa and Walton Counties, Florida

7. DO YOU HOLD ANY CURRENTLY VALID FEDERAL FISH AND WILDLIFE LICENSE OR PERMIT? ☒ YES ☐ NO
(*If yes, list license or permit numbers*)
Permit No. 2-309

8. IF REQUIRED BY ANY STATE OR FOREIGN GOVERNMENT, DO YOU HAVE THEIR APPROVAL TO CONDUCT THE ACTIVITY YOU PROPOSE? XX YES ☐ NO
(*If yes, list jurisdictions and type of documents*)
Florida Scientific Collecting Permit

9. CERTIFIED CHECK OR MONEY ORDER (*if applicable*) PAYABLE TO THE U.S. FISH AND WILDLIFE SERVICE ENCLOSED IN AMOUNT OF: $ None

10. DESIRED EFFECTIVE DATE: September

11. DURATION NEEDED: 1 year

12. ATTACHMENTS. THE SPECIFIC INFORMATION REQUIRED FOR THE TYPE OF LICENSE/PERMIT REQUESTED (*See 50 CFR 13.12(b)*) MUST BE ATTACHED, IT CONSTITUTES AN INTEGRAL PART OF THIS APPLICATION. LIST SECTIONS OF 50 CFR UNDER WHICH ATTACHMENTS ARE PROVIDED: Maurice F. Mettee, Geological Survey of Alabama, P.O. Drawer O, University, AL, 35486--Attachment 50 CFR 17.22

CERTIFICATION

I HEREBY CERTIFY THAT I HAVE READ AND AM FAMILIAR WITH THE REGULATIONS CONTAINED IN TITLE 50, PART 13, OF THE CODE OF FEDERAL REGULATIONS AND THE OTHER APPLICABLE PARTS IN SUBCHAPTER B OF CHAPTER I OF TITLE 50, AND I FURTHER CERTIFY THAT THE INFORMATION SUBMITTED IN THIS APPLICATION FOR A LICENSE/PERMIT IS COMPLETE AND ACCURATE TO THE BEST OF MY KNOWLEDGE AND BELIEF. I UNDERSTAND THAT ANY FALSE STATEMENT HEREIN MAY SUBJECT ME TO THE CRIMINAL PENALTIES OF 18 U.S.C. 1001.

SIGNATURE (*In ink*): Maurice F. Mettee
DATE: 8/23/77

3-200
(6/74)

ATTACHMENT 50 CFR 17-22a

(1) *Etheostoma okaloosae*, Okaloosa darter. Collection of no more than 100 Okaloosa darters to determine population size at several sites where this species and *Etheostoma edwini* (the Brown darter) occur sympatrically.

(2) All fishes that will be collected occur in seven small streams in Okaloosa and Walton Counties.

(3) Specimens of Okaloosa darter will not be preserved normally unless their morphological appearance is unusual and requires closer examination in the laboratory.

(4) Not applicable.

(5) All specimens collected and preserved during the study will be deposited in the University of Alabama Ichthyological and Herpetological Collections in Tuscaloosa, Alabama, where they will be maintained for reference purposes.

(6) Not applicable.

(7) Not applicable.

(8) (i) It is possible that the endangered darter, *Etheostoma okaloosae* and its nearest relative *Etheostoma edwini* are in competition in streams that until recently were occupied only by the endangered form. The first purpose of this study is to monitor these sympatric populations and observe any changes that occur in their relative numbers. A second function of the study is to find any new areas with the Okaloosa darter streams where the two species occur sympatrically so that these sites can also be monitored.

(ii) Fishes will be collected with nylon minnow seives. No more than 100 specimens of the Okaloosa darter will be collected during the study.

(iii) The data that will be accumulated during the study will be used by the Okaloosa darter recovery team to initiate a recovery plan for the Okaloosa darter.

(iv) See number 5.

Documents and other information submitted in connection with this application are available for public inspection during normal business hours at the Service's office in Room 512, 1717 H Street NW., Washington, D.C.

Interested persons may comment on this application by submitting written data, views. or arguments, preferably in triplicate, to the Director (FWS/WPO), U.S. Fish and Wildlife Service, Washinging, D.C. 20240. This application has been assigned File Number PRT 2-1385-07; please refer to this number when submitting comments. All relevant comments received on or before October 31, 1977.

Dated: September 23, 1977.

DONALD G. DONAHOO,
Chief, Permit Branch, Federal Wildlife Permit Office, U.S. Fish and Wildlife Service.

[FR Doc.77-28189 Filed 9-28-77;8:45 am]

[4310-10]

ENDANGERED SPECIES PERMIT

Ransom Soper, III; Notice of Receipt of Application

Notice is hereby given that the following application for a permit is deemed to have been received under section 10 of the Endangered Species Act of 1973 Pub. L. 93-205).

Applicant: Ransom Soper, III, 170 So. Snedecor Ave., Bayport, N.Y. 11705.

OMB NO. 42-R1579

DEPARTMENT OF THE INTERIOR
U.S. FISH AND WILDLIFE SERVICE

FEDERAL FISH AND WILDLIFE LICENSE/PERMIT APPLICATION

1. APPLICATION FOR (*Indicate only one*)
☐ IMPORT OR EXPORT LICENSE ☒ PERMIT

2. BRIEF DESCRIPTION OF ACTIVITY FOR WHICH REQUESTED LICENSE OR PERMIT IS NEEDED.
Permit is requested for the possession, propagation, holding and sale of the endangered species of water-fowl, namely Laysan Teal.

- Propagation Permit, and Interstate Commerce.

3. APPLICANT. (*Name, complete address and phone number of individual, business, agency, or institution for which permit is requested*)
Ransom Soper, III
170 So. Snedecor Ave.
Bayport, N.Y. 11705

(516) 472-0347

4. IF "APPLICANT" IS AN INDIVIDUAL, COMPLETE THE FOLLOWING:
☒ MR. ☐ MRS. ☐ MISS ☐ MS.
HEIGHT: 5'11" WEIGHT: 195 lbs.
DATE OF BIRTH: Feb. 4, 1955
COLOR HAIR: Brown COLOR EYES: Hazel
PHONE NUMBER WHERE EMPLOYED: N/A
SOCIAL SECURITY NUMBER: 081-50-5084
OCCUPATION: Student
ANY BUSINESS, AGENCY, OR INSTITUTIONAL AFFILIATION HAVING TO DO WITH THE WILDLIFE TO BE COVERED BY THIS LICENSE/PERMIT: NONE

5. IF "APPLICANT" IS A BUSINESS, CORPORATION, PUBLIC AGENCY OR INSTITUTION, COMPLETE THE FOLLOWING:
EXPLAIN TYPE OR KIND OF BUSINESS, AGENCY, OR INSTITUTION: N/A
NAME, TITLE, AND PHONE NUMBER OF PRESIDENT, PRINCIPAL OFFICER, DIRECTOR, ETC.: N/A
IF "APPLICANT" IS A CORPORATION, INDICATE STATE IN WHICH INCORPORATED: N/A

6. LOCATION WHERE PROPOSED ACTIVITY IS TO BE CONDUCTED
170 So. Snedecor Ave.
Bayport, N.Y. 11705

7. DO YOU HOLD ANY CURRENTLY VALID FEDERAL FISH AND WILDLIFE LICENSE OR PERMIT? ☐ YES ☒ NO
(*If yes, list license or permit numbers*)

8. IF REQUIRED BY ANY STATE OR FOREIGN GOVERNMENT, DO YOU HAVE THEIR APPROVAL TO CONDUCT THE ACTIVITY YOU PROPOSE? ☒ YES ☐ NO
(*If yes, list jurisdictions and type of documents*)
Pending -

9. CERTIFIED CHECK OR MONEY ORDER (*if applicable*) PAYABLE TO THE U.S. FISH AND WILDLIFE SERVICE ENCLOSED IN AMOUNT OF: $ N/A

10. DESIRED EFFECTIVE DATE: Thirty days

11. DURATION NEEDED: Continuous

12. ATTACHMENTS. THE SPECIFIC INFORMATION REQUIRED FOR THE TYPE OF LICENSE/PERMIT REQUESTED (*See 50 C.F.R. 13.12(b)*) MUST BE ATTACHED, IT CONSTITUTES AN INTEGRAL PART OF THIS APPLICATION. LIST SECTIONS OF 50 CFR UNDER WHICH ATTACHMENTS ARE PROVIDED.
* See Attachments.

CERTIFICATION

I HEREBY CERTIFY THAT I HAVE READ AND AM FAMILIAR WITH THE REGULATIONS CONTAINED IN TITLE 50, PART 13, OF THE CODE OF FEDERAL REGULATIONS AND THE OTHER APPLICABLE PARTS IN SUBCHAPTER B OF CHAPTER I OF TITLE 50, AND I FURTHER CERTIFY THAT THE INFORMATION SUBMITTED IN THIS APPLICATION FOR A LICENSE/PERMIT IS COMPLETE AND ACCURATE TO THE BEST OF MY KNOWLEDGE AND BELIEF. I UNDERSTAND THAT ANY FALSE STATEMENT HEREIN MAY SUBJECT ME TO THE CRIMINAL PENALTIES OF 18 U.S.C. 1001.

SIGNATURE (*In ink*): Ransom Soper III
DATE: August 7, 1977

3-200
(6/74)

Attachment (1) Laysan Duck (*Anas laysanensis*)—At the present time it is our intention to purchase at least two pair (male and female) of the species as noted. I intend to purchase such Laysan Teal from Mr. Arthur Searles of Patchogue, N.Y. (Federal permit No. PRT 2-117 NW). The birds we intend to purchase are newly hatched in captivity. It is my intention to possess, hold, propagate and sell this endangered species of waterfowl, namely Laysan Teal (Interstate Commerce).

Attachment (2) The wildlife sought to be covered by the permit have been born in captivity.

Attachment (3) I do intend to purchase the Laysan Teal directly from Mr. Arthur Searles, Robinson Ave., Patchogue, N.Y. The birds sought will be transported to my home, a matter of a few miles, in proper and adequate containers. The birds so purchased have been born and bred in captivity.

Attachment (4) I intend to purchase the Laysan Teal, which have been born and raised in captivity, from Mr. Arthur Searles, Robinson Ave., Patchogue, N.Y. (U.S.A.). Federal Permit No. PRT 2-117 NY. The subject Laysan Teal were born and raised in captivity as were the Laysan Teal producing the subject young.

Attachment (5). At this time I have erected two holding pens at my home (170 So. Snedecor Ave., Bayport, N.Y. 11705). One pen is 14'×21' and is wired top and sides. The second pen is 6'×10' and is similarly wired. Both holding pens have man made ponds with running water and natural foliage. The entire facility is surrounded with a five foot high fencing of wood stockade and welded wire, with one entry. The entire area is shaded but, does offer more than adequate sun-light. At this time I am also constructing proper brooding facilities and installing adequate nesting boxes in the larger pen. Accepted incubation facilities have already been established.

Attachment (6) (*i*) *See photos attached. I feel that a complete description of the area and facility is fully covered in Attachment No. 5.

(*ii*) I have been an avid out-doors-man all of my life. I have hunted wild water-fowl, in the Long Island area, since I have been of licensing age. I studied, through text and periodicals, all species of water-fowl native to North America and those not native; I am fully familiar with markings, coloring, habits and breeding process of wild water-fowl. Over the years I have raised and nursed back to health such animals as Rabbit, Raccoon and Muskrat; and on occasions, songbirds. There is very little that I do not know about wild water-fowl and I am applying this knowledge to the raising of such wildlife.

(*iii*) I would be very happy to participate in a cooperative breeding program and contribute data to a studbook.

(*iv*) With regards to the Laysan Teal, they will be transported a matter of four to five miles on initial acquisition. They will be held in a metal brooding container, approximately 20'' high, 20'' wide and 24'' long. They will have adequate water and feed placed in the container while being transported to my facility and will be under constant supervision during the time. The container does have more than adequate ventilation. With regards to my intended sale of Laysan Teal to interested water-fowlers, Zoos, etc. I will construct my own shipping containers of wood, approximately 15'' high, 20'' wide and 20'' long. Adequate water and feed will be provided to sustain the birds while being transported; water and feed will be sufficient to sustain them if a delay is encountered. No more than one pair of birds will be transported at any one time. All birds will be shipped Air Express with proper labeling attached, indicating that live wildlife is contained. The forwarders will be notified of what is being shipped and they should act accordingly. I would like to note that my shipping containers will have openings on the sides of ¾'' to 1'', running the length of the container, to provide proper ventilation.

(*v*) This is a new venture and I have not raised any water-fowl prior to this time; therefore, no mortalities have been involved. Once my required State and Federal permits have approved and issued, I will acquire adult water-fowl, in pairs, and commence my operations in propagating such water-fowl and detailed record keeping will be instituted.

Attachment (7) There are no contracts or agreements in existence at this time and none are in the offing. My father and two brothers, who are very experienced waterfowlers, will assist me in my program to propagate the endangered species, Laysan Teal. My activities in propagating the Laysan Teal will commence as soon as approval and proper permits are received from your department.

Attachment (8) (*i*) Permit is requested for the possession, propagation, holding and sale of the endangered species of water-fowl namely Laysan Teal.

(*ii*) I intend to propagate and raise the noted species in adequate facilities at my home, 170 So. Snedecor Ave., Bayport, N.Y. 11705. It is my intention to purchase a pair, possibly two, adult Laysan Teal from Mr. Arthur Searles, Robinson Ave., Patchogue, N.Y. (Federal Permit #PRT 2-117 NY) to commence propagation processes. When young birds are acquired from the adults, I will retain a sufficient number of male and female breeding pairs in order to increase the species population. I do intend to sell, from time to itme, such Laysan Teal to interested water-fowlers, bird fanciers, educational institutions and Zoo's. The sale will be dependent upon the intentions of the intended buyer.

(*iii*) My sole intention in acquiring such Federal permits is to enhance the Laysan Teal and increase its population. The sale of Laysan Teal to interested parties is also being done to increase the species population, not monetary consideration. I know that I have the expertise and facilities to aid in removing the Laysen Teal from the endangered classification. *

(*iv*) If I should ever terminate my propagation activities, regarding the Laysan Teal, I shall return any remaining birds to my original source or offer them to responsible water-fowl breeders, bird fanciers, educational institutions, or Zoo's for the sole purpose of propagation.

Documents and other information submitted in connection with this application are available for public inspection during normal business hours at the Service's office in Room 512, 1717 H Street, NW., Washington, D.C.

Interested persons may comment on this application by submitting written data, views, or arguments, preferably in triplicate, to the Director (FWS/WPO), U.S. Fish and Wildlife Service, Washington, D.C. 20240. This application has been assigned File Number PRT 2-1292-C07; please refer to this number when submitting comments. All relevant comments received on or before October 31, 1977 will be considered.

Dated: September 23, 1977.

DONALD D. DONAHOO,
Chief, Permit Branch, Federal Wildlife Permit Office, U.S. Fish and Wildlife Service.

[FR Doc.77-28190 Filed 9-28-77;8:45 am]

[4310–10]

ENDANGERED SPECIES PERMIT

Robert C. Vrijenhoek; Notice of Receipt of Application

Notice is hereby given that the following application for a permit is deemed to have been received under section 10 of the Endangered Species Act of 1973 (Pub. L. 93–205).

Applicant: Dr. Robert C. Vrijenhoek, Department of Zoology, Rutgers University, New Brunswick. N.J. 08903.

OMB NO. 42-R1670

DEPARTMENT OF THE INTERIOR
U.S. FISH AND WILDLIFE SERVICE

FEDERAL FISH AND WILDLIFE LICENSE/PERMIT APPLICATION

1. APPLICATION FOR (Indicate only one)
☐ IMPORT OR EXPORT LICENSE ☒ PERMIT

2. BRIEF DESCRIPTION OF ACTIVITY FOR WHICH REQUESTED LICENSE OR PERMIT IS NEEDED.
Taking 50 individuals of each of two subspecies of Poeciliopsis occidentalis
P. o. occidentalis
P. o. sonoriensis
scientific research

3. APPLICANT. (Name, complete address and phone number of individual, business, agency, or institution for which permit is requested)
Dr. Robert C. Vrijenhoek
Department of Zoology
Rutgers University
New Brunswick, New Jersey 08903
(201) 932-2804

4. IF "APPLICANT" IS AN INDIVIDUAL, COMPLETE THE FOLLOWING:
☒ MR. ☐ MRS. ☐ MISS ☐ MS.
HEIGHT: 67 inches
WEIGHT: 165 lbs
DATE OF BIRTH: March 13, 1946
COLOR HAIR: Brown
COLOR EYES: Blue
PHONE NUMBER WHERE EMPLOYED: (201) 932-2804
SOCIAL SECURITY NUMBER: 027-34-8876
OCCUPATION: Assistant Professor of Zoology
ANY BUSINESS, AGENCY, OR INSTITUTIONAL AFFILIATION HAVING TO DO WITH THE WILDLIFE TO BE COVERED BY THIS LICENSE/PERMIT

5. IF "APPLICANT" IS A BUSINESS, CORPORATION, PUBLIC AGENCY, OR INSTITUTION, COMPLETE THE FOLLOWING:
EXPLAIN TYPE OR KIND OF BUSINESS, AGENCY, OR INSTITUTION
NAME, TITLE, AND PHONE NUMBER OF PRESIDENT, PRINCIPAL OFFICER, DIRECTOR, ETC.
IF "APPLICANT" IS A CORPORATION, INDICATE STATE IN WHICH INCORPORATED

6. LOCATION WHERE PROPOSED ACTIVITY IS TO BE CONDUCTED
Monkey Spring, Santa Cruz County, AZ
San Bernardino Ranch, Cochise County, AZ

7. DO YOU HOLD ANY CURRENTLY VALID FEDERAL FISH AND WILDLIFE LICENSE OR PERMIT? ☐ YES ☒ NO
(If yes, list license or permit number(s))

8. IF REQUIRED BY ANY STATE OR FOREIGN GOVERNMENT, DO YOU HAVE THEIR APPROVAL TO CONDUCT THE ACTIVITY YOU PROPOSE? ☐ YES ☒ NO
(If yes, list jurisdictions and type of document)
Application for permit has been submitted to Arizona Wildlife Commission.

9. CERTIFIED CHECK OR MONEY ORDER (if applicable) PAYABLE TO THE U.S. FISH AND WILDLIFE SERVICE ENCLOSED IN AMOUNT OF
$

10. DESIRED EFFECTIVE DATE: 15 Nov 1977

11. DURATION NEEDED: 3 months

12. ATTACHMENTS. THE SPECIFIC INFORMATION REQUIRED FOR THE TYPE OF LICENSE/PERMIT REQUESTED (See 50 CFR 13.12(b)) MUST BE ATTACHED. IT CONSTITUTES AN INTEGRAL PART OF THIS APPLICATION. LIST SECTIONS OF 50 CFR UNDER WHICH ATTACHMENTS ARE PROVIDED.
Attached are items required by 50 CFR 17.22a.

CERTIFICATION

I HEREBY CERTIFY THAT I HAVE READ AND AM FAMILIAR WITH THE REGULATIONS CONTAINED IN TITLE 50, PART 13, OF THE CODE OF FEDERAL REGULATIONS AND THE OTHER APPLICABLE PARTS IN SUBCHAPTER B OF CHAPTER I OF TITLE 50, AND I FURTHER CERTIFY THAT THE INFORMATION SUBMITTED IN THIS APPLICATION FOR A LICENSE/PERMIT IS COMPLETE AND ACCURATE TO THE BEST OF MY KNOWLEDGE AND BELIEF. I UNDERSTAND THAT ANY FALSE STATEMENT HEREIN MAY SUBJECT ME TO THE CRIMINAL PENALTIES OF 18 U.S.C. 1001.

SIGNATURE (In ink): R. C. Vrijenhoek
DATE: 9/7/77

RUTGERS,
THE STATE UNIVERSITY OF NEW JERSEY,
September 6, 1977.

DEPARTMENT OF THE INTERIOR,
U.S. Fish and Wildlife Service,
Federal Fish and Wildlife,
License/Permit Application (3–200).

The Following information is submitted in compliance with 50 CFR 17.22a.

1. Fish to be collected.—a. *Poeciliopsis occidentalis occidentalis* — Monkey Spring, Santa Cruz County, Ariz. *Poeciliopsis occidentalis sonoriensis* — on San Bernardino Ranch, Cochise County, Ariz.

b. Taking a total of 100 mature and immature fish of both sexes. Approximately 50 individuals of each subspecies will be taken. A majority of these fish will be frozen immediately after capture and will be used later in an electrophoretic study of protein polymorphism in these subspecies. The carcasses will be preserved for later morphological study.

c. Live samples of both subspecies (5 males and 5 females from each) will be maintained by the applicant at Rutgers University, New Brunswick, N.J. These fish will be used to establish a laboratory stock that will be maintained for use in genetic studies of these subspecies and related species already being maintained at Rutgers, as well as several other laboratories.

2. The fish to be covered by this permit are still in the wild. The locations of the populations to be sampled are Monkey Spring on the Rail-X Ranch in Santa Cruz County, Ariz., and in a spring on the San Bernardino Ranch in Cochise County, Ariz.

3. The applicant has not previously attempted to collect this species within the United States. A majority of the wildlife to be covered by this permit will not be maintained alive. Their immediate freezing after capture will prevent deteriorization of their proteins prior to examination. The genetic studies planned for the subspecies require laboratory breeding. The live samples indicated in 1. c. will provide the necessary stocks for these studies.

4. Not applicable, the subspecies populations to be sampled are not captive, self-sustaining populations.

5. The applicant is an Assistant Professor of Zoology at Rutgers University. Rutgers is a public institution and is located in New Brunswick, N.J. 08903.

6. The applicant seeks to have live wildlife covered by this permit.

(i) The applicant has a wetroom with over 250 aquaria, including 64—2½ gal breeding tanks, 36—5½ gal tanks, 36—10 gal tanks, 6—40 gal tanks, and over 125—1½ gal rearing tanks. The wetroom is supported by NSF Grant DEB76–19285 to the applicant. The wetroom is supplied with supplemental lighting, forced air and is maintained at 78° F. year round. A diagram of the wetroom is attached.

(ii) Mexican species of fishes in the genus *Poeciliopsis* have been maintained in laboratories at Rutgers and elsewhere for the past twenty years. The applicant has been involved with laboratory maintenance of species related to the fish to be covered by this permit for ten years. The applicant has a doctoral student, who has been involved with laboratory stock care for three years, a full-time technician and another graduate student, who has been involved with fish care for one year.

(iii) The applicant has routinely maintained detailed records on all live stocks of fish born or reared in his laboratory. The fish to be covered by this permit will be added to the records and all subsequent events involving them will be recorded. These records will be available to other interested researchers. All carcasses of the laboratory stocks will be preserved.

(iv) The live fish will be placed in several 1 gal bottles after capture. The water in the bottles will be aerated until just before shipment to Rutgers. The closed bottles will be protected inside an insulated container during the time they are being shipped. The applicant will accompany the fish to the plane and will ride the plane with them to New Jersey. On arrival in New Jersey, the fish will immediately be taken to the wetroom at Rutgers and placed in a previously prepared area. The fish will be in closed containers for about seven hours. This system has been used to return several hundred fish from Mexico over the past five years and mortality during transit has been less than two percent.

(v) The laboratory stocks of related species that have been maintained at Rutgers during the past three years (as far back as the applicant has records) have had accidental mortality of less than ten percent. The progeny of wild caught females have had similar mortality, while the wild caught females themselves have had mortality less than five percent. Mortality at around ten percent has been the case in every laboratory that has raised large stocks of *Poeciliopsis* under conditions similar to those at Rutgers. Usually individual fish are not maintained in the laboratory for more than two years. All fish not needed for on-going studies or for maintenance of the stock are preserved in formalin. Studies are in progress to determine the parameters affecting mortality in the laboratory stocks. Most of the mortality

has been restricted to periods when large numbers of several strains of fish were being reared. During these times space became a limiting factor and crowding became a problem. Additional space in a temperature controlled greenhouse has been obtained and at least a portion of the *P. occidentalis* subspecies to be covered by this permit will be housed there during times of crowding. When fish stocks are being kept at maintenance levels, mortality is considerably less than ten percent. Death due to disease is usually less than one percent.

7. (i) Persons involved with collecting and maintenance of the fish to be covered by this permit: Dr. Robert C. Vrijenhoek, Mr. James F. Leslie, Mr. Dominic Spinella, Ms. Susan Krepp.

(ii) The date of the collection will be between 15 November 1977 and 31 January 1978. The lack of a firm collecting date is due to the uncertainty concerning when approval for the collection will be obtained from Federal and state authorities. Appropriate applications have been filed by the applicant.

8. The applicant is seeking a permit to collect frozen and live samples of two subspecies of *Poeciliopsis occidentalis*.

(i) The populations of *P. occidentalis* to be sampled are located in Monkey Spring on the Rail-X Ranch in Santa Cruz County (*P. o. occidentalis*) and in a spring on the San Bernardino Ranch in Cochise County (*P. o. sonoriensis*), Arizona. Permission is requested for a single collection of each subspecies during the period 15 November 1977 through 31 January 1978. The flexibility in time is needed in order to allow time for permission to be obtained from appropriate authorities. Permission has also been sought from Mexican authorities to collect Mexican species related to the fish to be covered by this permit. Once permission from all the above authorities has been granted the final dates for the collection will be determined.

(ii) The collecting will be by seining and dip nets. The individuals selected will be mature and immature fish of both sexes. In order to conduct the planned studies the individuals must be at least 20 mm in total length. A total of 50 individuals of each subspecies will be taken, including 5 males and 5 females of each subspecies that will be maintained alive for breeding purposes. The live specimens will be shipped by air to New Jersey as was described in 6. iv. above.

(iii) This collection will complete a survey of genetic variation in *P. occidentalis* that has been being conducted under NSF Grant DEB76–19285 to the applicant. This study has been completed for the Mexican portion of the range of this species (copy of manuscript in press is attached). That portion of the study was completed with the cooperation and assistance of Mexcan authorities. This study of genetic variation in *P. occidentalis* is part of a larger study of variation in a complex of sexually and asexually reproducing fishes in the genus *Poeciliopsis* that is being conducted by the applicant under NSF Grant DEB76–19285. The grant provides funds for the maintenance of live stocks in the laboratory and for the biochemical analysis of frozen fish collected in the wild.

(iv) The carcasses of the fish used in the genetic variation study will be preserved for use in morphological studies. The live fish and their progeny will be maintained as laboratory stocks for use in genetic studies. The carcasses of fish used in the genetic studies will be preserved. Laboratory stocks of *P. o. occidentalis* and *P. o. sonoriensis* will be available to other researchers in accordance with standard breeding loans.

Documents and other information submitted in connection with this application are available for public inspection during normal business hours at the Service's office in Room 512, 1717 H Street NW., Washington, D.C.

Interested persons may comment on this application by submitting written data, views, or arguments, preferably in triplicate, to the Director (FWS/WPO), U.S. Fish and Wildlife Service, Washington, D.C. 20240. This application has been assigned File Number PRT 2–1405–07; please refer to this number when submitting comments. All relevant comments received on or before October 31, 1977.

Dated: September 23, 1977.

DONALD G. DONAHOO,
Chief, Permit Branch, Federal Wildlife Permit Office, U.S. Fish and Wildlife Service.

[FR Doc.77–28193 Filed 9–28–77;8:45 am]

[4310–10]

ENDANGERED SPECIES PERMIT

South American Primates, Inc.; Notice of Receipt of Application

Notice is hereby given that the following application for a permit is deemed to have been received under section 10 of the Endangered Species Act of 1973 (Pub. L. 93–205).

Applicant: South American Primates, Inc., 10525 SW 185th Terrace, Miami, Fla. 33157. Dr. James Porter, President.

OMB NO. 42-R1670

DEPARTMENT OF THE INTERIOR
U.S. FISH AND WILDLIFE SERVICE
FEDERAL FISH AND WILDLIFE
LICENSE/PERMIT APPLICATION

1. APPLICATION FOR (*Indicate only one*)
☐ IMPORT OR EXPORT LICENSE ☒ PERMIT

2. BRIEF DESCRIPTION OF ACTIVITY FOR WHICH REQUESTED LICENSE OR PERMIT IS NEEDED.
Re: Letter of 6/21/77 to your office I wish a permit to ship 6 frozen carcasses of Saguinus oedipus to John McArdle, U. of Chicago. The carcasses were in my possession before the species was listed as an endangered species. Dr. McArdle requested these carcasses before they became endangered but was unable to secure funding then.

3. APPLICANT. (*Name, complete address and phone number of individual, business, agency, or institution for which permit is requested*)
South American Primates, Inc.
10525 SW 185th Terrace
Miami, Florida 33157

4. IF "APPLICANT" IS AN INDIVIDUAL, COMPLETE THE FOLLOWING:
☐ MR. ☐ MRS. ☐ MISS ☐ MS. | HEIGHT | WEIGHT
DATE OF BIRTH | COLOR HAIR | COLOR EYES
PHONE NUMBER WHERE EMPLOYED | SOCIAL SECURITY NUMBER
OCCUPATION
ANY BUSINESS, AGENCY, OR INSTITUTIONAL AFFILIATION HAVING TO DO WITH THE WILDLIFE TO BE COVERED BY THIS LICENSE/PERMIT

5. IF "APPLICANT" IS A BUSINESS, CORPORATION, PUBLIC AGENCY, OR INSTITUTION, COMPLETE THE FOLLOWING:
EXPLAIN TYPE OR KIND OF BUSINESS, AGENCY, OR INSTITUTION
Import, export, and sall on the domestic market to research institutions or zoological groups non-human primates and their by products.
NAME, TITLE, AND PHONE NUMBER OF PRESIDENT, PRINCIPAL OFFICER, DIRECTOR, ETC. 305/233/6422
Dr. James Porter, President
IF "APPLICANT" IS A CORPORATION, INDICATE STATE IN WHICH INCORPORATED
Florida

6. LOCATION WHERE PROPOSED ACTIVITY IS TO BE CONDUCTED
South American Primates, Inc. wishes to ship the four frozen carcasses in a styrofoam box packed with dry ice by Delta Airlines to O'hara Airport, Chicago, Ill.

7. DO YOU HOLD ANY CURRENTLY VALID FEDERAL FISH AND WILDLIFE LICENSE OR PERMIT? ☐ YES ☒ NO
(*If yes, list license or permit numbers*)

8. IF REQUIRED BY ANY STATE OR FOREIGN GOVERNMENT, DO YOU HAVE THEIR APPROVAL TO CONDUCT THE ACTIVITY YOU PROPOSE? ☐ YES ☐ NO
(*If yes, list jurisdictions and type of documents*)
Not required

9. CERTIFIED CHECK OR MONEY ORDER (*if applicable*) PAYABLE TO THE U.S. FISH AND WILDLIFE SERVICE ENCLOSED IN AMOUNT OF
$

10. DESIRED EFFECTIVE DATE
Immediately

11. DURATION NEEDED
One time only

12. ATTACHMENTS. THE SPECIFIC INFORMATION REQUIRED FOR THE TYPE OF LICENSE/PERMIT REQUESTED (*See 50 CFR 13.12(a)*) MUST BE ATTACHED, IT CONSTITUTES AN INTEGRAL PART OF THIS APPLICATION. LIST SECTIONS OF 50 CFR UNDER WHICH ATTACHMENTS ARE PROVIDED.

CERTIFICATION

I HEREBY CERTIFY THAT I HAVE READ AND AM FAMILIAR WITH THE REGULATIONS CONTAINED IN TITLE 50, PART 13, OF THE CODE OF FEDERAL REGULATIONS AND THE OTHER APPLICABLE PARTS IN SUBCHAPTER B OF CHAPTER I OF TITLE 50, AND I FURTHER CERTIFY THAT THE INFORMATION SUBMITTED IN THIS APPLICATION FOR A LICENSE/PERMIT IS COMPLETE AND ACCURATE TO THE BEST OF MY KNOWLEDGE AND BELIEF. I UNDERSTAND THAT ANY FALSE STATEMENT HEREIN MAY SUBJECT ME TO THE CRIMINAL PENALTIES OF 18 U.S.C. 1001.

SIGNATURE (*In ink*) James A. Porter Jr.
DATE August 24, 1977

3-200
10/77

SOUTH AMERICAN PRIMATES, INC.,
Miami, Fla.

Attachments: 50 CFR 13.12(b) 17.22.

(1) Six frozen carcasses of Cottontop marmosets (*Saguinus oedipus*), adult, half male and half female. They are to be sold to Dr. John McArdle, Department of Anatomy, University of Chicago, for anatomical purposes.

(2) The carcasses are in a freezer on my premises. The live animals were part of a shipment imported by and received through Tropical Animal Distributors, Inc., on September 1, 1976.

(3) The live marmosets were imported prior to becoming an endangered species.

(4) The marmosets were imported from Panama.

(5) The Department of Anatomy of the University of Chicago, Chicago, Ill., is typical of all anatomy departments. The carcasses are to be used in private research studies by Dr McArdle.

(6) Not applicable.

(7) Private research studies funded from personal funds by Dr. John McArdle.

(8) Dr. McArdle is interested in making comparative anatomical studies of marmosets.

NOTE.—These carcasses belonged to live monkeys imported on September 1, 1976. Dr. John McArdle contracted to buy these carcasses by letters of September 29 and November 11, 1976, but, because of shortage of funds, final purchase confirmation was delayed until letter of June 13, 1977, hence this request for permission to ship.

I hereby certify that I have read and am familiar with the regulations contained in Title 50, Part 13, of the Code of Federal Regulations and the other applicable parts in Subchapter B of Chapter I of Title 50, and I further certify that the information submitted in this application for a permit is complete and accurate to the best of my knowledge and belief. I understand that any false statement hereon may subject me to the criminal penalties of 18 U.S.C. 1001.

JAMES A. PORTER, Jr.,
D.V.M., Ph.D.

Documents and other information submitted in connection with this application are available for public inspection during normal business hours at the Service's office in Room 512, 1717 H Street NW., Washington, D.C.

Interested persons may comment on this application by submitting written data, views, or arguments, preferably in triplicate, to the Director (FWS/WPO), U.S. Fish and Wildlife Service, Washington, D.C. 20240. This application has been assigned File Number PRT 2-1371-07; please refer to this number when submitting comments. All relevant comments received on or before October 31, 1977.

Dated: September 23, 1977.

DONALD G. DONAHOO,
Chief, Permit Branch, Federal Wildlife Permit Office, U.S. Fish and Wildlife Service.

[FR Doc 77-28191 Filed 9-28-77;8:45 am]

[4310-10]

THREATENED SPECIES PERMIT

James O. Rumbaugh, Jr., Notice of Receipt of Application

Notice is hereby given that the following application for a permit is deemed to have been received under Section 4(d), 16 U.S.C. 1533(d), of the Endangered Species Act of 1973 (Pub. L. 93-205).

Applicant: James O. Rumbaugh, Jr., M.D., Box 156, Newport, Pa. 17074.

DEPARTMENT OF THE INTERIOR
U.S. FISH AND WILDLIFE SERVICE

FEDERAL FISH AND WILDLIFE LICENSE/PERMIT APPLICATION

1. APPLICATION FOR (*use only one*)
☐ IMPORT OR EXPORT LICENSE ☒ PERMIT

2. BRIEF DESCRIPTION OF ACTIVITY FOR WHICH LICENSE OR PERMIT IS NEEDED: Authorization to engage in interstate commerce of seven endangered pheasant which have been determined to exist in "Captive Self-Sustaining Populations" within the U. S.: for a period of two years.(1) Brown-eared(Cross. mantichurium).(2) Edwards (Lophura edwardsi), (3)Mikado (Syrmaticus mikado) (4) Hume's Bar-tailed (Syrmaticus humiae),(5)Palawan peacock pheasant (Polypectron emphanum), (6) Elliot's (Syrmaticus ellioti), (7) White eared (Crossoptilon Cross. drouyni)

3. APPLICANT. (*Name, complete address and phone number of individual, business, agency, or institution for which permit is requested*)
James O. Rumbaugh, Jr., M.D.
Box 156
Newport, Pa., 17074
717 567-3723

4. IF "APPLICANT" IS AN INDIVIDUAL, COMPLETE THE FOLLOWING
☒ MR. ☐ MRS. ☐ MISS ☐ MS.
HEIGHT: 6 ft. 4 in. WEIGHT: 240 lb.
DATE OF BIRTH: June 30, 1929
COLOR HAIR: Dk. Brown COLOR EYES: Brown
PHONE NUMBER WHERE EMPLOYED: 717 567-3723
SOCIAL SECURITY NUMBER: 245-60-5845
OCCUPATION: Physician
ANY BUSINESS, AGENCY, OR INSTITUTIONAL AFFILIATION HAVING TO DO WITH THE WILDLIFE TO BE COVERED BY THIS LICENSE/PERMIT: none

5. IF "APPLICANT" IS A BUSINESS, CORPORATION, PUBLIC AGENCY, OR INSTITUTION, COMPLETE THE FOLLOWING:
EXPLAIN TYPE OR KIND OF BUSINESS, AGENCY, OR INSTITUTION: N. A.
NAME, TITLE, AND PHONE NUMBER OF PRESIDENT, PRINCIPAL OFFICER, DIRECTOR, ETC.: N. A.
IF "APPLICANT" IS A CORPORATION, INDICATE STATE IN WHICH INCORPORATED: N. A.

6. LOCATION WHERE PROPOSED ACTIVITY IS TO BE CONDUCTED
R' D. 2, Juniata Township
Perry County
Newport, Pa. 17074

7. DO YOU HOLD ANY CURRENTLY VALID FEDERAL FISH AND WILDLIFE LICENSE OR PERMIT? ☐ YES ☒ NO
(*If yes, list license or permit numbers*)

8. IF REQUIRED BY ANY STATE OR FOREIGN GOVERNMENT, DO YOU HAVE THEIR APPROVAL TO CONDUCT THE ACTIVITY YOU PROPOSE? ☐ YES ☐ NO
(*If yes, list jurisdictions and type of documents*)
none required

9. CERTIFIED CHECK OR MONEY ORDER (*if applicable*) PAYABLE TO THE U.S. FISH AND WILDLIFE SERVICE ENCLOSED IN AMOUNT OF: N. A.

10. DESIRED EFFECTIVE DATE: date of issuance

11. DURATION NEEDED: 2 years

12. ATTACHMENTS. THE SPECIFIC INFORMATION REQUIRED FOR THE TYPE OF LICENSE/PERMIT REQUESTED (*See 50 CFR 13.12(a)*) MUST BE ATTACHED, IT CONSTITUTES AN INTEGRAL PART OF THIS APPLICATION. LIST SECTIONS OF 50 CFR UNDER WHICH ATTACHMENTS ARE PROVIDED.
17.33

CERTIFICATION

I HEREBY CERTIFY THAT I HAVE READ AND AM FAMILIAR WITH THE REGULATIONS CONTAINED IN TITLE 50, PART 13, OF THE CODE OF FEDERAL REGULATIONS AND THE OTHER APPLICABLE PARTS IN SUBCHAPTER B OF CHAPTER I OF TITLE 50, AND I FURTHER CERTIFY THAT THE INFORMATION SUBMITTED IN THIS APPLICATION FOR A LICENSE/PERMIT IS COMPLETE AND ACCURATE TO THE BEST OF MY KNOWLEDGE AND BELIEF. I UNDERSTAND THAT ANY FALSE STATEMENT HEREIN MAY SUBJECT ME TO THE CRIMINAL PENALTIES OF 18 U.S.C. 1001.

SIGNATURE (*In ink*): James O. Rumbaugh Jr.
DATE: 9/4/77

3-200
(6.74)
GPO 895-042

September 4, 1977.

DIRECTOR (FWS/LE),
U.S. Fish and Wildlife Service,
U.S. Department of the Interior,
P.O. Box 19183, Washington, D.C.

DEAR SIR: A "Captive Self-Sustaining Population" permit is requested for the following species of pheasants:

(1) Brown Eared (*Cross. Mantichurium*), (2) Edwards (*Lophura edwardsi*), (3) Mikado (*Syrmaticus mikado*), (4) Hume's Bar-tailed (*Syrmaticus humiae*), (5) Palawan peacock pheasant (*Polypectron emphanum*), (6) Elliot's (*Syrmaticus ellioti*), (7) White eared (*Crossoptilon Cross. drouyni*)

The Applicant seeks a permit to authorize an unlimited number of transactions through interstate commerce over a two-year period of time for the seven species of pheasant listed above in this paragraph, with the permit being subject to renewal according to section 13.24.

(2) The applicant possesses 100 aviaries varying in size from 6 feet wide by 18 feet long to 12 feet wide by 36 feet long. All are 6 feet high. Each has a shelter 6 feet square and six feet high. There are also two buildings, each 16 feet square and 7 feet high, which are heated in winter.

(3) Applicant has been raising ornamental pheasants for over twenty years. Prior to 1973 my pheasantry contained 45 species of ornamental pheasants. Now there are only twelve, but applicant would like to increase that number again. Applicant has raised approximately two thousand young birds in the last twenty years from the species listed above, and may be the only one in the country to have the very rare Imperial pheasant. The applicant has been active in conservation minded organization and is a director and past president of the American Pheasant and Waterfowl Society. He is also a member of the International Wild Waterfowl Society and the American Game Breeders Cooperative Federation.

Mortality of all birds hatched each year has been kept below 5 percent.

The Applicant is making this application to gain authorization to engage in interstate commerce with the seven species of pheasants listed above. This will enable the applicant to dispose of progeny raised each year to qualified breeders and thereby recover costs invested in the above species. This will also increase the "captive self-sustaining population" of each species involved and thereby enhance their overall chances for survival.

Upon termination of my breeding program, those birds covered by the permit as well as those which are not will be distributed among qualified breeders of those species concerned.

Very truly yours,
JAMES O. RUMBAUGH, Jr., M.D.

Documents and other information submitted in connection with this application are available for public inspection during normal business hours at the Service's office in Room 512, 1717 H Street, NW., Washington, D.C.

Interested persons may comment on this application by submitting written data, views, or arguments, preferably in triplicate, to the Director (FWS/WPO), U.S. Fish and Wildlife Service, Washington, D.C. 20240. This application has been assigned File Number PRT 2-1424-C25; please refer to this number when submitting comments. All relevant comments received on or before October 31, 1977 will be considered.

Dated: September 23, 1977.

DONALD G. DONAHOO,
Chief, Permit Branch, Federal Wildlife Permit Office, U.S. Fish and Wildlife Service.

[FR Doc.77-28195 Filed 9-28-77;8:45 am]

[4310-10]

THREATENED SPECIES PERMIT

Rare Feline Breeding Compound; Notice of Receipt of Application

Notice is hereby given that the following application for a permit is deemed to have been received under Section 4(d), 16 USC 1533(d), of the Endangered Species Act of 1973 (Pub. L. 93-205).

Applicant: Rare Feline Breeding Compound, P.O. Box 132, Center Hill, Fla. 33514; Robert E. Baudy, owner.

OMB NO. 42-R1670

DEPARTMENT OF THE INTERIOR
U.S. FISH AND WILDLIFE SERVICE

FEDERAL FISH AND WILDLIFE LICENSE/PERMIT APPLICATION

1. APPLICATION FOR (*Indicate only one*)
☐ IMPORT OR EXPORT LICENSE ☒ PERMIT

2. BRIEF DESCRIPTION OF ACTIVITY FOR WHICH REQUESTED LICENSE OR PERMIT IS NEEDED.
Buy, sell, and transport tigers, leopards, jaguars and ring tailed lemurs in interstate commerce.

3. APPLICANT. (*Name, complete address and phone number of individual, business, agency, or institution for which permit is requested*)
Rare Feline Breeding Compound
P. O. Box 132
Center Hill, Florida 33514
(904) 793-2109

4. IF "APPLICANT" IS AN INDIVIDUAL, COMPLETE THE FOLLOWING:
☐ MR. ☐ MRS. ☐ MISS ☐ MS.
HEIGHT | WEIGHT
DATE OF BIRTH | COLOR HAIR | COLOR EYES
PHONE NUMBER WHERE EMPLOYED | SOCIAL SECURITY NUMBER
OCCUPATION
ANY BUSINESS, AGENCY, OR INSTITUTIONAL AFFILIATION HAVING TO DO WITH THE WILDLIFE TO BE COVERED BY THIS LICENSE/PERMIT

5. IF "APPLICANT" IS A BUSINESS, CORPORATION, PUBLIC AGENCY, OR INSTITUTION, COMPLETE THE FOLLOWING:
EXPLAIN TYPE OR KIND OF BUSINESS, AGENCY, OR INSTITUTION
Privately owned business solely for captive reproduction of felines and other species that are difficult to breed in captivity.
NAME, TITLE, AND PHONE NUMBER OF PRESIDENT, PRINCIPAL OFFICER, DIRECTOR, ETC. (904) 793-2109
Robert E. Baudy, Owner
IF "APPLICANT" IS A CORPORATION, INDICATE STATE IN WHICH INCORPORATED
Florida

6. LOCATION WHERE PROPOSED ACTIVITY IS TO BE CONDUCTED
Center Hill, Sumter County, Florida

7. DO YOU HOLD ANY CURRENTLY VALID FEDERAL FISH AND WILDLIFE LICENSE OR PERMIT? ☐ YES ☒ NO
(*If yes, list license or permit numbers*)

8. IF REQUIRED BY ANY STATE OR FOREIGN GOVERNMENT, DO YOU HAVE THEIR APPROVAL TO CONDUCT THE ACTIVITY YOU PROPOSE? ☒ YES ☐ NO
(*If yes, list jurisdictions and type of documents*)
Florida F. &W. #130 series E.
USDA 58-EL-119

9. CERTIFIED CHECK OR MONEY ORDER (*if applicable*) PAYABLE TO THE U.S. FISH AND WILDLIFE SERVICE ENCLOSED IN AMOUNT OF
$

10. DESIRED EFFECTIVE DATE
October1, 1977

11. DURATION NEEDED
2 years

12. ATTACHMENTS. THE SPECIFIC INFORMATION REQUIRED FOR THE TYPE OF LICENSE/PERMIT REQUESTED (*See 50 CFR 13.12(a)*) MUST BE ATTACHED, IT CONSTITUTES AN INTEGRAL PART OF THIS APPLICATION. LIST SECTIONS OF 50 CFR UNDER WHICH ATTACHMENTS ARE PROVIDED.

CERTIFICATION

I HEREBY CERTIFY THAT I HAVE READ AND AM FAMILIAR WITH THE REGULATIONS CONTAINED IN TITLE 50, PART 13, OF THE CODE OF FEDERAL REGULATIONS AND THE OTHER APPLICABLE PARTS IN SUBCHAPTER B OF CHAPTER I OF TITLE 50, AND I FURTHER CERTIFY THAT THE INFORMATION SUBMITTED IN THIS APPLICATION FOR A LICENSE/PERMIT IS COMPLETE AND ACCURATE TO THE BEST OF MY KNOWLEDGE AND BELIEF. I UNDERSTAND THAT ANY FALSE STATEMENT HEREIN MAY SUBJECT ME TO THE CRIMINAL PENALTIES OF 18 U.S.C. 1001.

SIGNATURE (*In ink*) Robert E. Baudy — DATE 8.26-77

3-200 (6/74)

In accordance with paragraph 17.33 the following information is given.

(1) Jaguar, *Panthera onca*; Leopard, *Panthera pardus*; Tiger, *Panthera tigris*; Lemur, ring-tailed, *Lemur catta*.

Buy, sell, and transport the above species in interstate commerce for a period of two (2) years.

(2) Photographs and description of facilities attached.

(3) Robert Baudy, owner, personally supervises all personnel in the care of the animals at the Rare Feline Breeding Compound. Mr. Baudy's technical expertize is demonstrated by the fact that since 1960, 162 tigers, 324 leopards, and 152 jaguars were successfully raised at the compound. Mr. Baudy has also successfully bred puma, snow leopard, clouded leopard, ocelot, margay, asiatic golden cat, caracal, pallas cat, siberian lynx, canadian lynx, and bobcat.

At the present time, there are 117 exotic cats housed at the Breeding Compound. Included in this number are 8 tigers, 33 leopards, 3 snow leopards, 16 jaguars, 2 cheetahs, 9 clouded leopards, 7 ocelots, 13 leopard cats, and 3 margays.

Applicant is a member of the Florida Panther Recovery Team.

(4) Applicant will cooperate in any breeding program and maintain or contribute data to a stud book that is sanction by the U.S.D.I.

(5) No temporary storage is planned. All animal crates will meet acceptable standards with provisions for watering and feeding. Fastest means of transportation will be used. Both U.S.D.A. and Florida Game Commission standards are used.

(6)

Oct. 1973 ..... Female leopard killed male during breeding.
Feb. 1974 ..... One young male tiger killed another young male.
Mar. 1974 ..... Euthanized female tiger, cancer of skin.
Sept. 1975 ..... Male jaguar killed, human mistake.
Do ..... Male black jaguar, euthanized due to debilitate condition.
June 1976 ..... Female tiger died following surgery.

All of the above deaths have been studied and when possible, corrective steps have been taken.

(7) The purpose of the Rare Feline Breeding Compound is to propagate felines. Since the subject cats are rare and endangered in their wild state, it is imperative to have a good breeding stock in captivity.

If granted the requested permit, it would be possible to trade, sell, and buy cats that would introduce new blood lines into the Compounds cats, and to use its gene pools to help other captive cats.

The applicant will keep complete and accurate records of all activities required if subject permit is granted.

Documents and other information submitted in connection with this application are available for public inspection during normal business hours at the Service's office in Room 512, 1717 H Street, NW., Washington, D.C.

Interested persons may comment on this application by submitting written data, views, or arguments, preferably in triplicate, to the Director (FWS/WPO), U.S. Fish and Wildlife Service, Washington, D.C. 20240. This application has been assigned File Number PRT 2-1388-25; please refer to this number when submitting comments. All relevant comments received on or before October 31, 1977 will be considered.

Dated: September 23, 1977.

DONALD G. DONAHOO,
Chief, Permit Branch, Federal Wildlife Permit Office, U.S. Fish and Wildlife Service.

[FR Doc.77-28187 Filed 9-28-77;8:45 am]

[4310-10]

THREATENED SPECIES PERMIT

Ronald Lynn Phillips; Notice of Receipt of Application

Notice is hereby given that the following application for a permit is deemed to have been received under Section 4(d), 16 U.S.C. 1533(d), of the Endangered Species Act of 1973 (Pub. L. 93-205).

Applicant: Ronald Lynn Phillips, Rt. No. 5, Huday Lane, Knoxville, Tenn. 37914.

OMB NO. 42-R1670

DEPARTMENT OF THE INTERIOR
U.S. FISH AND WILDLIFE SERVICE

FEDERAL FISH AND WILDLIFE LICENSE/PERMIT APPLICATION

1. APPLICATION FOR (Indicate only one)
☐ IMPORT OR EXPORT LICENSE ☒ PERMIT

2. BRIEF DESCRIPTION OF ACTIVITY FOR WHICH REQUESTED LICENSE OR PERMIT IS NEEDED.
Unlimited CSSP Permits Pheasants

Brown Eared	Crossoptilon Mantchuricu
Edward's	Lophura edwardsi
Bar-tailed	Syrmaticus humiae
Mikado	Syrmaticus humiae
Palawan peacock	Polyplectron emphanum
Swinhoe's	Lophura swinhoii

3. APPLICANT. (Name, complete address and phone number of individual, business, agency, or institution for which permit is requested)
Ronald Lynn Phillips
Rt# 5 Huday Lane
Knoxville Tn. 37914
5223047 (615)

4. IF "APPLICANT" IS AN INDIVIDUAL, COMPLETE THE FOLLOWING:
☒ MR. ☐ MRS. ☐ MISS ☐ MS.
HEIGHT 5-11 WEIGHT 220
DATE OF BIRTH 10-11-46
COLOR HAIR Brown COLOR EYES Blue
PHONE NUMBER WHERE EMPLOYED XXXXX 5254013
SOCIAL SECURITY NUMBER 415-76-2974
OCCUPATION Stock Clerk
ANY BUSINESS, AGENCY, OR INSTITUTIONAL AFFILIATION HAVING TO DO WITH THE WILDLIFE TO BE COVERED BY THIS LICENSE/PERMIT

5. IF "APPLICANT" IS A BUSINESS, CORPORATION, PUBLIC AGENCY, OR INSTITUTION, COMPLETE THE FOLLOWING:
EXPLAIN TYPE OR KIND OF BUSINESS, AGENCY, OR INSTITUTION
NAME, TITLE, AND PHONE NUMBER OF PRESIDENT, PRINCIPAL OFFICER, DIRECTOR, ETC.
IF "APPLICANT" IS A CORPORATION, INDICATE STATE IN WHICH INCORPORATED

6. LOCATION WHERE PROPOSED ACTIVITY IS TO BE CONDUCTED
Rt#5 Huday Lane
KNoxville Tn. 37914
Knox County

7. DO YOU HOLD ANY CURRENTLY VALID FEDERAL FISH AND WILDLIFE LICENSE OR PERMIT? ☒ YES ☐ NO
(If yes, list license or permit number)
Migratory Bird Permit 4-PR-1088

8. IF REQUIRED BY ANY STATE OR FOREIGN GOVERNMENT, DO YOU HAVE THEIR APPROVAL TO CONDUCT THE ACTIVITY YOU PROPOSE? ☒ YES ☐ NO
(If yes, list jurisdictions and type of documents)
State Of Tennessee Upland Game Bird Propagation Permit #006442

9. CERTIFIED CHECK OR MONEY ORDER (if applicable) PAYABLE TO THE U.S. FISH AND WILDLIFE SERVICE ENCLOSED IN AMOUNT OF
50 C F R 17.33

10. DESIRED EFFECTIVE DATE
Nov. I-77

11. DURATION NEEDED
2 Yrs

12. ATTACHMENTS. THE SPECIFIC INFORMATION REQUIRED FOR THE TYPE OF LICENSE/PERMIT REQUESTED (See 50 CFR 13.12(a)) MUST BE ATTACHED, IT CONSTITUTES AN INTEGRAL PART OF THIS APPLICATION. LIST SECTIONS OF 50 CFR UNDER WHICH ATTACHMENTS ARE PROVIDED.
17.33 (a)

CERTIFICATION

I HEREBY CERTIFY THAT I HAVE READ AND AM FAMILIAR WITH THE REGULATIONS CONTAINED IN TITLE 50, PART 13, OF THE CODE OF FEDERAL REGULATIONS AND THE OTHER APPLICABLE PARTS IN SUBCHAPTER B OF CHAPTER I OF TITLE 50, AND I FURTHER CERTIFY THAT THE INFORMATION SUBMITTED IN THIS APPLICATION FOR A LICENSE/PERMIT IS COMPLETE AND ACCURATE TO THE BEST OF MY KNOWLEDGE AND BELIEF. I UNDERSTAND THAT ANY FALSE STATEMENT HEREIN MAY SUBJECT ME TO THE CRIMINAL PENALTIES OF 18 U.S.C. 1001.

SIGNATURE (In ink)
Ronald Lynn Phillips
DATE
9-4-77

3-200
16-741
GPO 895-042

This attachment is in regard to my request for a Unlimited CSSP Permit for the following:

Brown Eared—Crossoptilon mantchuricum.
Bar-tailed—Syrmaticus humiae.
Edwards—Lophura edwards.
Mikado—Syrmaticus Mikado.
Palawan peacock—Polyplectran emphanum.
Swinhoe—Lophura swinhoii.

This permit is needed to allow me to sell off surplus stock, obtain a new blood line for the species that I have now, and to obtain the two species that I don't have in my collection.

I have enclosed on another page a description along with diagrams and photo's of the facilities in which I house my pheasants.

I am a member of the American Pheasant and Waterfowl Society and the American Game Bird Breeders Cooperative Federation, and I am thirty years old. I have been raising pheasants and waterfowl for eight years. I have seventeen species of pheasants including five that are now on the endangered species list. I also have twenty six species of waterfowl including one that is also on the endangered species list. I have successfully raised off all my endangered pheasants with the exception of my Brown Eared. My problem with them being infertility due to both being closely related, and my not being able to obtain any unrelated stock in my area.

In transporting these birds they will be shipped Air Freight. I usually ship and receive on United Airlines as they have more direct flights to more airports than do other air lines. The size of the shipping container of course would depend upon the birds, the most common size is 20" x 20" x 18", a Eared pheasant would have to be larger. It is constructed of a wooden frame covered with burlap preventing the birds from seeing out and being frightened and allowing fresh air in. The bottom is made of plywood and covered with straw. The top has a piece of hardware cloth all the way across one end allowing fresh air in the top, the rest is made plywood with foam rubber fastened to it to prevent the bird from hitting his head and injuring himself. On one corner I have a large can fastened which contains water, on the other corner one contains feed. (both of which can be filled and refilled from the outside) I also put freshly cut apples inside of the container for the bird to eat on during shipment.

I would definately be willing to participate in a cooperative breeding program, and or contribute data on a studbook, or anything else that would help to preserve and increase the population of the species.

As for mortalities I have never lost any birds during shipping. I have of course lost birds, as does everybody during raising. I have lost two Bar-tails this year and one last year, two of which died from fighting and one from flying into a perch and hitting its head. I also lost one pair of Swinhoe due to Mink getting into the pen and killing them. I sometimes lose a bird during hatching as they don't get out of the egg. As in the case of Bartails losing two isn't bad considering I have raised twelve this year so far. In preventing such mortalities I try to provide large pens which usually takes care of birds fighting but of course this doesn't always work. In preventing predators from getting into the pens I place wire around the bottom and cover it with soil preventing anything from digging in. Around the side I have an electric fence to prevent anything from climbing up the sides and getting in.

My purpose for wanting a permit is for one thing a means of selling off my surplus stock. I try to keep several pairs of breeders of each species, but as other breeders with the price of feed and building facilities it is necessary to sell off any surplus that I raise and the local market is just not enough to take care of it. I would also like to obtain a new blood line to mix with the one that I have now to upgrade my stock. Being an avid bird fancier I am always interested in acquiring and breeding new breeds of birds. I feel that if myself and others don't continue to maintain and breed these birds they will soon be extinct. I have a lot of groups from local schools come out and they really enjoy looking at the birds. I also have a lot of people come by to take pictures. Myself being only thirty years old I would hope to be raising these birds for several years, but should it become necessary for me to terminate my activities I would hope to place my collection in with some of the other collections in my area, and some of the rarer species be donated to the Game Bird Preservation Center in Salt Lake City Utah.

Documents and other information submitted in connection with this application are available for public inspection during normal business hours at the Service's office in Room 512, 1717 H Street NW., Washington, D.C.

Interested persons may comment on this application by submitting written data, views, or arguments, preferably in triplicate, to the Director (FWS/WPO), U.S. Fish and Wildlife Service, Washington, D.C. 20240. This application has been assigned File Number PRT 2-1396-25; please refer to this number when submitting comments. All relevant comments received on or before October 31, 1977 will be considered.

Dated: September 23, 1977.

DONALD G. DONAHOO,
Chief, Permit Branch, Federal Wildlife Permit Office, U.S. Fish and Wildlife Service.

[FR Doc.77-28188 Filed 9-28-77;8:45 am]

federal register

THURSDAY, SEPTEMBER 29, 1977
PART VIII



DEPARTMENT OF STATE

■

FISHERY CONSERVATION AND MANAGEMENT ACT OF 1976

Applications for Permits To Fish Off the Coasts of the United States

[4710-01]

DEPARTMENT OF STATE

[Public Notice 568]

FISHERY CONSERVATION AND MANAGEMENT ACT OF 1976

Applications for Permits to Fish Off the Coasts of the United States

The Fishery Conservation and Management Act of 1976 (Pub. L. 94-265) (the "Act") provides that no fishing shall be conducted by foreign fishing vessels in the Fishery Conservation Zone of the United States after February 28, 1977, except in accordance with a valid and applicable permit issued pursuant to section 204 of the Act.

The Act also requires that all applications for such permits be published in the FEDERAL REGISTER.

Applications for fishing during 1978 have been received from the Republic of Romania, and are published herewith.

Dated: September 19, 1977.

LARRY L. SNEAD,
Acting Director,
Office of Fisheries Affairs.

THE UNITED STATES OF AMERICA
DEPARTMENT OF COMMERCE
NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION

APPLICATION FOR VESSEL PERMITS TO FISH WITHIN THE FISHERY CONSERVATION ZONE OF THE UNITED STATES

No. _____

In accordance with the provisions of the Fishery Conservation and Management Act of 1976, the Government of ROMANIA hereby submits this application for permits for vessels under its jurisdiction to fish within the Fishery Conservation Zone of the United States, or beyond that zone for anadromous species or Continental Shelf fishery resources subject to the jurisdiction of the United States, during the year 1978.

Fishing Vessel Identification Forms will be submitted in support of this application. The fishery plans, species, and catch contemplated for vessels of the ROMANIA flag are as follows:

Fishery Plans	Target Species	Total Tonnage Requested For Each Species (MT)
ATLANTIC MACKEREL	MACKEREL	25.000
ATLANTIC HAKE	SILVER HAKE	3.600
ATLANTIC HERRING	HERING	5.300
ATLANTIC SQUID	SQUID	4.000
OTHER FIN FISH - ATLANTIC	OTHER FINFISH	2.800
		40.700

Submitted: 31.08.1977
Date

Signature of Authorized Official

Title

CHIEF OF FISHING DEPARTMENT
MINISTRY OF AGRICULTURE AND FOODSTUFF INDUSTRY

FISHING VESSEL IDENTIFICATION FORM (FOREIGN) No. RO-78-0002

1. Name of Vessel POLAR 4 2. Visual Identifier (Call Sign) Y.Q.M.D.

3. Type of Vessel refrigerated transport 4. Length 152

5. Gross Tonnage 11.899 6. Net Tonnage 7.158 7. Maximum Speed (knots) 17

8. Owner's Name and Address I.P.O.-TULCEA frigorifer portuar street, no.1, TULCEA - ROMANIA.

9. Types of Processing Equipment cargo - gears.

10. Fisheries for Which Permit is Requested:

Fishery Plans	Target Species	Gear To Be Used	Activity: Catching	Processing	Other Support
MAC	MACKEREL				X
HAK	SILVER HAKE				X
HER	HERING				X
SQU	SQUID				X
FNF	OTHER FINFISH				X

11. Are Fishing Activities Requested in Support of Vessels of a Different Flag:

☒ No ☐ Yes (If yes, attach supplemental sheet showing flag of other vessels, fishery, species, quantities, dates, locations and specific activities requested.)

FISHING VESSEL IDENTIFICATION FORM (FOREIGN) No. 10-78-0003

1. Name of Vessel POLAR I
2. Visual Identifier (Call Sign) Y.Q.M.A.
3. Type of Vessel refrigerated transport
4. Length 130 m
5. Gross Tonnage 5120
6. Net Tonnage 2387
7. Maximum Speed (knots) 16
8. Owner's Name and Address I.P.O.-TULCEA - frigorifer portuar street no.1, TULCEA - ROMANIA.
9. Types of Processing Equipment CARGO-GEARS
10. Fisheries for Which Permit is Requested:

Fishery Plans	Target Species	Gear To Be Used	Activity: Catching	Activity: Processing	Activity: Other Support
MAC	MACKEREL				X
HAK	SILVER HAKE				X
HER	HERING				X
SQU	SQUID				X
TNF	OTHER FINFISH				X

11. Are Fishing Activities Requested in Support of Vessels of a Different Flag:

☒ No ☐ Yes (If yes, attach supplemental sheet showing flag of other vessels, fishery, species, quantities, dates, locations and specific activities requested.)

FISHING VESSEL IDENTIFICATION FORM (FOREIGN) No. RO-78-0005

1. Name of Vessel D O R N A
2. Visual Identifier (Call Sign) Y.Q.M.R.
3. Type of Vessel STERN TRAWLER
4. Length 1o2 m
5. Gross Tonnage 3971
6. Net Tonnage 1864
7. Maximum Speed (knots) 15
8. Owner's Name and Address I.P.O. TULCEA-Frigorifer portuar street no.1 Tulcea - ROMANIA
9. Types of Processing Equipment Beheading machine vostra 2o1.1;2o1.2;2o2.1;3o1,c filleting machine vostra 331.o;332.o;skinning mach.vostra 361.o, freezing tunnels LBH.21-1 fish meal plant VF-MC 4,fish oil-laval
10. Fisheries for Which Permit is Requested:

Fishery Plans	Target Species	Gear To Be Used	Activity: Catching	Processing	Other Support
MAC	MACKEREL	MIDWATER TRAWL	X	X	
FNF	OTHER FINFISH	MIDWATER TRAWL	X	X	

11. Are Fishing Activities Requested in Support of Vessels of a Different Flag:

☒ No ☐ Yes (If yes, attach supplemental sheet showing flag of other vessels, fishery, species, quantities, dates, locations and specific activities requested.)

FISHING VESSEL IDENTIFICATION FORM (FOREIGN) No. R0-78-0006

1. Name of Vessel I E Z E R 2. Visual Identifier (Call Sign) Y.Q.M.J.

3. Type of Vessel stern trawler 4. Length 81

5. Gross Tonnage 2632 6. Net Tonnage 1116 7. Maximum Speed (knots) 15

8. Owner's Name and Address I.P.O.- TULCEA - frigorifer portuar street no.1, TULCEA - ROMANIA

9. Types of Processing Equipment Beheading machine baader 421;423 filleting machine baader 188, skinning machine type 47, fish washing machine type F.G.2. horizontal plate freezer(double)Z HPmP 2x12,5R;vertical plate freezers 2VPm 8GR.fish meal plant-TM-35M-35Z fish oil plant-laval.

10. Fisheries for Which Permit is Requested:

Fishery Plans	Target Species	Gear To Be Used	Activity: Catching	Processing	Other Support
MAC	MACKEREL	MIDWATER TRAWL	X	X	X
HAK	SILVER HAKE	MIDWATER TRAWL	X	X	
SQU	SQUID	MIDWATER TRAWL	X	X	
FNF	OTHE FINFISH	MIDWATER TRAWL	X	X	
		BOTTOM TRAWL	X	X	

11. Are Fishing Activities Requested in Support of Vessels of a Different Flag:

[X] No [ ] Yes (If yes, attach supplemental sheet showing flag of other vessels, fishery, species, quantities, dates, locations and specific activities requested.)

FISHING VESSEL IDENTIFICATION FORM (FOREIGN) No. P0-78-0005

1. Name of Vessel N E G O I U 2. Visual Identifier (Call Sign) Y.Q.P.Y.

3. Type of Vessel stern trawler 4. Length 84

5. Gross Tonnage 2691 6. Net Tonnage 1075 7. Maximum Speed (knots) 13

8. Owner's Name and Address I.P.O. TULCEA frigorifer portuar street no.1, TULCEA - ROMANIA

9. Types of Processing Equipment Beheading machine baader 421;423,filleting machine type baader 188,skinning machine type F.G.2.conveyor with washing machine fish type f.g.2;two contact freezers-clarkebuilt-fish meal plant TM-35M-35Z-fish oil plant-laval-sweden.

10. Fisheries for Which Permit is Requested:

Fishery Plans	Target Species	Gear To Be Used	Activity		
			Catching	Processing	Other Support
MAC	MACKEREL	MIDWATER TRAWL	X	X	
SQU	SQUID	MIDWATER TRAWL	X	X	
FNF	OTHER FINFISH	MIDWATER TRAWL	X	X	

11. Are Fishing Activities Requested in Support of Vessels of a Different Flag:

☒ No ☐ Yes (If yes, attach supplemental sheet showing flag of other vessels, fishery, species, quantities, dates, locations and specific activities requested.)

FISHING VESSEL IDENTIFICATION FORM (FOREIGN) No. 60-78-0011

1. Name of Vessel S I N O E
2. Visual Identifier (Call Sign) Y.Q.P.V.
3. Type of Vessel stern trawler
4. Length 84
5. Gross Tonnage 2691
6. Net Tonnage 1075
7. Maximum Speed (knots) 13
8. Owner's Name and Address I.P.O. TULCEA - frigorifer portuar street, no.1, TULCEA - ROMANIA
9. Types of Processing Equipment Beheading machine type baader 421;423 filleting machine type baader 188;skinning machine type baader 47,fish washing machine type F.G.2;plate freerers and freezing tunnel-clarke fish meal plant TM-35M-35Z; fish oil-laval
10. Fisheries for which Permit is Requested:

Fishery Plans	Target Species	Gear To Be Used	Activity: Catching	Activity: Processing	Activity: Other Support
MAC	MACKEREL	MIDWATER TRAWL	X	X	
HAK	SILVER HAKE	BOTTOM TRAWL	X	X	
HER	HERING	MIDWATER TRAWL	X	X	
SQU	SQUID	MIDWATER TRAWL	X	X	
FNF	OTHER FINFISH	MIDWATER TRAWL	X X	X X	

11. Are Fishing Activities Requested in Support of Vessels of a Different Flag:

☒ No ☐ Yes (If yes, attach supplemental sheet showing flag of other vessels, fishery, species, quantities, dates, locations and specific activities requested.)

FISHING VESSEL IDENTIFICATION FORM (FOREIGN) No. RO-78-0012

1. Name of Vessel C E R N A 2. Visual Identifier (Call Sign) Y.Q.M.N

3. Type of Vessel Stern Trawler 4. Length 102

5. Gross Tonnage 3971 6. Net Tonnage 1864 7. Maximum Speed (knots) 15

8. Owner's Name and Address I.P.O.TULCEA - Frigorifer portuar street no. 1 - Tulcea - ROMANIA

9. Types of Processing Equipment Beheading machine vostra 201.1;201.2;202.1;301. filleting machine vostra 331.0;332.0;skinning mach.vostra 361.0, freezing tunnels LBH.21-1 fish meal plant VF-MC 4,fish oil-laval

10. Fisheries for Which Permit is Requested:

Fishery Plans	Target Species	Gear To Be Used	Activity: Catching	Processing	Other Support
MAC	MACKEREL	MIDWATER TRAWL	X	X	
FNF	OTHER FINFISH	MIDWATER TRAWL	X	X	

11. Are Fishing Activities Requested in Support of Vessels of a Different Flag:

[X] No [ ] Yes (If yes, attach supplemental sheet showing flag of other vessels, fishery, species, quantities, dates, locations and specific activities requested.)

FISHING VESSEL IDENTIFICATION FORM (FOREIGN) No. Ro-78-0014

1. Name of Vessel C A L I M A N
2. Visual Identifier (Call Sign) Y.Q.M.S.
3. Type of Vessel Stern trawler
4. Length 102
5. Gross Tonnage 3971
6. Net Tonnage 1864
7. Maximum Speed (knots) 15
8. Owner's Name and Address I.P.O. TULCEA-Frigorifer portuar street no.1 TULCEA - ROMANIA

9. Types of Processing Equipment Beheading machine vostra 201.1;201.2;202.1;301.0 filleting machine vostra 331.0;332.0;skinning mach.vostra 361.0, freezing tunnels LBH.21-1 fish meal plant VF-MC 4,fish oil-laval

10. Fisheries for Which Permit is Requested:

Fishery Plans	Target Species	Gear To Be Used	Activity: Catching	Processing	Other Support
MAC	MACKEREL	MIDWATER TRAWL	X	X	
SQU	SQUID	MIDWATER TRAWL	X	X	
FNF	OTHER FINFISH	MIDWATER TRAWL	X	X	

11. Are Fishing Activities Requested in Support of Vessels of a Different Flag:

☒ No ☐ Yes (If yes, attach supplemental sheet showing flag of other vessels, fishery, species, quantities, dates, locations and specific activities requested.)

FISHING VESSEL IDENTIFICATION FORM (FOREIGN) No. Ro-78-005

1. Name of Vessel C E A H L A U L
2. Visual Identifier (Call Sign) Y.Q.P.Z.
3. Type of Vessel stern trawler
4. Length 88
5. Gross Tonnage 2682
6. Net Tonnage 1066
7. Maximum Speed (knots) 13
8. Owner's Name and Address I.P.O. TULCEA - frigorifer portuar street no.1, TULCEA - ROMANIA
9. Types of Processing Equipment Beheading machine type baader 421;423,filleting machine type baader 188,skinning machine type baader 47;fish mashing machine type F.G.2,two contact freezers,fish meal plant-TM-35M-35Z-fish oil plant-laval-sweden.
10. Fisheries for Which Permit is Requested:

Fishery Plans	Target Species	Gear To Be Used	Activity: Catching	Processing	Other Support
MAC	MACKEREL	MIDWATER TRAWL	X	X	
HER	HERING	MIDWATER TRAWL	X	X	
SQU	SQUID	MIDWATER TRAWL	X	X	
FNF	OTHER FINFISH	MIDWATER TRAWL	X	X	

11. Are Fishing Activities Requested in Support of Vessels of a Different Flag:

☒ No ☐ Yes (If yes, attach supplemental sheet showing flag of other vessels, fishery, species, quantities, dates, locations and specific activities requested.)

FISHING VESSEL IDENTIFICATION FORM (FOREIGN) No. RO-78-006

1. Name of Vessel C I N D R E L U L
2. Visual Identifier (Call Sign) Y.Q.M.T.
3. Type of Vessel stern trawler
4. Length 102
5. Gross Tonnage 3971
6. Net Tonnage 1864
7. Maximum Speed (knots) 15
8. Owner's Name and Address I.P.O. TULCEA - frigorifer portuar street, no. 1, TULCEA - ROMANIA
9. Types of Processing Equipment Beheading machine vostra 201.1;201.2;202.1;301.0 filleting machine vostra 331.0;332.0;skinning mach.vostra 361.0, freezing tunnels LBH.21-1 fish meal plant VF-MC 4, fish oil-laval
10. Fisheries for Which Permit is Requested:

Fishery Plans	Target Species	Gear To Be Used	Activity: Catching	Processing	Other Support
MAC	MACKEREL	MIDWATER TRAWL	X	X	
HAK	SILVER HAKE	BOTTOM TRAWL	X	X	
HER	HERING	MIDWATER TRAWL	X	X	
SQU	SQUID	MIDWATER TRAWL BOTTOM TRAWL	X	X	
FNF	OTHER FINFISH	MIDWATER TRAWL	X	X	

11. Are Fishing Activities Requested in Support of Vessels of a Different Flag:

☒ No ☐ Yes (If yes, attach supplemental sheet showing flag of other vessels, fishery, species, quantities, dates, locations and specific activities requested.)

FISHING VESSEL IDENTIFICATION FORM (FOREIGN) No. RO-78-0017

1. Name of Vessel C I U C A S
2. Visual Identifier (Call Sign) Y.Q.M.U.
3. Type of Vessel Stern trawler
4. Length 102
5. Gross Tonnage 3971
6. Net Tonnage 1864
7. Maximum Speed (knots) 15
8. Owner's Name and Address I.P.O.-TULCEA - frigorifer portuar street no.1 - TULCEA - ROMANIA
9. Types of Processing Equipment Beheading machine vostra 201.1;201.2;202.1;301. filleting machine vostra 331.0;332.0;skinning mach.vostra 361.0, freezing tunnels LBH.21-1 fish meal plant VF-MC 4, fish oil-laval
10. Fisheries for Which Permit is Requested:

Fishery Plans	Target Species	Gear To Be Used	Activity: Catching	Activity: Processing	Activity: Other Support
MAC	MACKEREL	MIDWATER TRAWL	X	X	
HAK	SILVER HAKE	BOTTOM TRAWL	X	X	
HER	HERING	MIDWATER TRAWL	X	X	
SQU	SQUID	MIDWATER TRAWL	X	X	
FNF	OTHER FINFISH	MIDWATER TRAWL	X	X	

11. Are Fishing Activities Requested in Support of Vessels of a Different Flag:

☒ No ☐ Yes (If yes, attach supplemental sheet showing flag of other vessels, fishery, species, quantities, dates, locations and specific activities requested.)

FISHING VESSEL IDENTIFICATION FORM (FOREIGN) No. Ro-78-0018

1. Name of Vessel COSTILA 2. Visual Identifier (Call Sign) Y.Q.M.V.

3. Type of Vessel Stern trawler 4. Length 102

5. Gross Tonnage 3971 6. Net Tonnage 1864 7. Maximum Speed (knots) 15

8. Owner's Name and Address I.P.O. TULCEA - frigorifer portuar street no.1, TULCEA - ROMANIA

9. Types of Processing Equipment Beheading machine vostra 201.1;201.2;202.1;301. filleting machine vostra 331.0;332.0;skinning mach.vostra 361.0, freezing tunnels LBH.21-1 fish meal plant VF-MC 4, fish oil - laval

10. Fisheries for Which Permit is Requested:

Fishery Plans	Target Species	Gear To Be Used	Activity: Catching	Processing	Other Support
MAC	MACKEREL	MIDWATER TRAWL	X	X	
SQU	SQUID	MIDWATER TRAWL	X	X	
FNF	OTHER FINFISH	MIDWATER TRAWL	X	X	

11. Are Fishing Activities Requested in Support of Vessels of a Different Flag:

☒ No ☐ Yes (If yes, attach supplemental sheet showing flag of other vessels, fishery, species, quantities, dates, locations and specific activities requested.)

FISHING VESSEL IDENTIFICATION FORM (FOREIGN) No. RO-78-0014

1. Name of Vessel P O L A R 2 2. Visual Identifier (Call Sign) Y.Q.M.B.

3. Type of Vessel refrigerated transport 4. Length 130

5. Gross Tonnage 5120 6. Net Tonnage 2387 7. Maximum Speed (knots) 16

8. Owner's Name and Address I.P.O.-TULCEA frigorifer portuar street no.1, TULCEA - ROMANIA

9. Types of Processing Equipment cargo - gears

10. Fisheries for Which Permit is Requested:

Fishery Plans	Target Species	Gear To Be Used	Activity		
			Catching	Processing	Other Support
MAC	MACKEREL				X
HAK	SILVER HAKE				X
HER	HERING				X
SQU	SQUID				X
FNF	OTHER FINFISH				X

11. Are Fishing Activities Requested in Support of Vessels of a Different Flag:

☒ No ☐ Yes (If yes, attach supplemental sheet showing flag of other vessels, fishery, species, quantities, dates, locations and specific activities requested.)

FISHING VESSEL IDENTIFICATION FORM (FOREIGN) No. RO-78-020

1. Name of Vessel POLAR 3 2. Visual Identifier (Call Sign) YQMG

3. Type of Vessel refrigerated transport 4. Length 152

5. Gross Tonnage 11.899 6. Net Tonnage 7.150 7. Maximum Speed (knots) 17

8. Owner's Name and Address I.P.O.-TULCEA frigorifer portuar street no.1, TULCEA - ROMANIA

9. Types of Processing Equipment cargo - gears

10. Fisheries for Which Permit is Requested:

Fishery Plans	Target Species	Gear To Be Used	Activity		
			Catching	Processing	Other Support
MAC	MACKEREL				X
HAK	SILVER HAKE				X
HER	HERING				X
SQU	SQUID				X
FNF	OTHER FINFISH				X

11. Are Fishing Activities Requested in Support of Vessels of a Different Flag:

[X] No [ ] Yes (If yes, attach supplemental sheet showing flag of other vessels, fishery, species, quantities, dates, locations and specific activities requested.)

[FR Doc.77-28421 Filed 9-28-77;8:45 am]

[4710-01]

[Public Notice 569]

FISHERY CONSERVATION AND MANAGEMENT ACT OF 1976

Applications for Permits to Fish Off the Coasts of the United States

The Fishery Conservation and Management Act of 1976 (Pub. L. 94-265) (the "Act") provides that no fishing shall be conducted by foreign fishing vessels in the Fishery Conservation Zone of the United States after February 28, 1977, except in accordance with a valid and applicable permit issued pursuant to section 204 of the Act.

The Act also requires that all applications for such permits be published in the FEDERAL REGISTER.

Applications for fishing during 1977 have been received from the Government of Mexico, and are published herewith.

Dated: September 19, 1977.

LARRY L. SNEAD,
Acting Director,
Office of Fisheries Affairs.

THE UNITED STATES OF AMERICA
DEPARTMENT OF COMMERCE
NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION

APPLICATION FOR VESSEL PERMITS TO FISH WITHIN THE FISHERY CONSERVATION ZONE OF THE UNITED STATES

No. _____

In accordance with the provisions of the Fishery Conservation and Management Act of 1976, the Government of MEXICO hereby submits this application for permits for vessels under its jurisdiction to fish within the Fishery Conservation Zone of the United States, or beyond that zone for anadromous species or Continental Shelf fishery resources subject to the jurisdiction of the United States, during the year 1977.

Fishing Vessel Identification Forms will be submitted in support of this application. The fishery plans, species, and catch contemplated for vessels of the MEXICAN flag are as follows:

Fishery Plans	Target Species	Total Tonnage Requested For Each Species (MT)
Atlantic Squid	SQU Loligo	

Submitted: September 13, 1977
Date

Signature of Authorized Official

Director of Intrl. Affairs
Title

Fishing Dpt.
Mexico City

Lic. ARTURO DIAZ-ROJO

FISHING VESSEL IDENTIFICATION FORM (FOREIGN) No. MX-77-0001

1. Name of Vessel Cortina J. (ex Alpes- Spanish name) (Mexican name subject to approval) 2. Visual Identifier (Call Sign) EEEL

3. Type of Vessel STERN TRAWLER 4. Length 52

5. Gross Tonnage 680 6. Net Tonnage 383 7. Maximum Speed (knots) 13

8. Owner's Name and Address COMPAÑIA IMPULSORA DEL CALAMAR, S.A.
Calle 20 / 35 Ciudad del Carmen Campeche - México

9. Types of Processing Equipment FLASH FREEZER

10. Fisheries for Which Permit is Requested:

Fishery Plans	Target Species	Gear To Be Used	Activity: Catching	Processing	Other Support
SQU	Long finned squid Short finned squid	BOTTOM TRAWL	X	X	

11. Are Fishing Activities Requested in Support of Vessels of a Different Flag:

☒ No ☐ Yes (If yes, attach supplemental sheet showing flag of other vessels, fishery, species, quantities, dates, locations and specific activities requested.)

FISHING VESSEL IDENTIFICATION FORM (FOREI... No. MX-77-0002

Mónica Re (ex Avior- spanish name)

1. Name of Vessel (Mexican name subject to approval) 2. Visual Identifier (Call Sign) E E V X

3. Type of Vessel STERN TRAWLER 4. Length 56

5. Gross Tonnage 765 6. Net Tonnage 394 7. Maximum Speed (knots) 13

8. Owner's Name and Address COMPAÑIA CALAMARERA DEL SURESTE, S.A.

Calle 20. / . 35 Ciudad del Carmen - Campeche - Mexico

9. Types of Processing Equipment FLASH FREEZER

10. Fisheries for Which Permit is Requested:

Fishery Plans	Target Species	Gear To Be Used	Activity: Catching	Processing	Other Support
SQU	Long-finned squid Short finned squid	BOTTOM TRAWL	X	X	

11. Are Fishing Activities Requested in Support of Vessels of a Different Flag:

☑ No ☐ Yes (If yes, attach supplemental sheet showing flag of other vessels, fishery, species, quantities, dates, locations and specific activities requested.)

[FR Doc.77-28422 Filed 9-28-77;8:45 am]

federal register

THURSDAY, SEPTEMBER 29, 1977
PART IX



OFFICE OF MANAGEMENT AND BUDGET

■

PROPOSED BUDGET RESCISSION

[3110–01]

OFFICE OF MANAGEMENT AND BUDGET

DEPARTMENT OF JUSTICE

Proposed Budget Rescission

To the CONGRESS OF THE UNITED STATES:

In accordance with the Impoundment Control Act of 1974, I herewith propose rescission of $2.7 million in general criminal justice and corrections grant funds appropriated to the Department of Justice.

The details of the proposed rescission are contained in the attached report.

JIMMY CARTER.

THE WHITE HOUSE,
September 23, 1977.

CONTENTS OF SPECIAL MESSAGE

(in thousands of dollars)

Rescission #	Item	Budget Authority
	Department of Justice	
	Law Enforcement Assistance Administration	
R78-1	Salaries and expenses.....	2,668

* *

SUMMARY OF SPECIAL MESSAGES
FOR FY 1978

(in thousands of dollars)

	Rescissions	Deferrals 1/
First special message.....	2,668	---

1/ Deferrals for FY 1978 cannot be proposed until October 1, 1977, in accordance with section 1013 of P.L. 93-344.

Rescission Proposal No: R78-1

PROPOSED RESCISSION OF BUDGET AUTHORITY
Report Pursuant to Section 1012 of P.L. 93-344

Agency: Department of Justice	New budget authority (P.L. 95-86) $647,250,000
Bureau: Law Enforcement Assistance Administration	Other budgetary resources 100,040,000
Appropriation title & symbol: Salaries and expenses 15X0400	Total budgetary resources 747,290,000
	Amount proposed for rescission $2,668,000
OMB identification code: 15-0400-0-1-754	Legal authority (in addition to sec. 1012): ☐ Antideficiency Act
Grant program ☒ Yes ☐ No	☐ Other
Type of account or fund: ☐ Annual ☐ Multiple-year (expiration date) ☒ No-year	Type of budget authority: ☒ Appropriation ☐ Contract authority ☐ Other

Justification:

Funds totalling $2,668,000 of budget authority available until expended in the Law Enforcement Assistance Administration's (LEAA) Salaries and expenses account are proposed for rescission. These funds represent the amount remaining available for general criminal justice and corrections formula grants. The funds had been allocated to State and local governments but were not used by them. In these cases, such unused funds revert to LEAA for general application.

The proposed rescission of these funds is equal to an amount proposed for transfer to Salaries and expenses, General legal activities ($1,445,000) and Salaries and expenses, Antitrust Division ($1,223,000), both in the Department of Justice. Additional funds are needed for General legal activities to alleviate a serious backlog of cases involving monetary claims of the government, white collar crime, corporate taxes, torts, fraud, and general litigation. Increased funding for the Antitrust Division is required to meet the additional grand jury workload resulting from criminal price fixing investigations, to increase ADP support in complex antitrust litigation, to administer the new antitrust enforcement grant program, and to maintain a computerized document retrieval system for the grand jury investigation related to ocean shipping.

In summary, the need for using the $2,668,000 for the General legal activities and in the Antitrust Division is greater than known LEAA needs for the funds. Therefore, they are proposed for transfer. This budget authority is also being reported as a rescission proposal to be consistent with section 1012 of the Impoundment Control Act which states that budget authority shall be proposed for rescission if it is no longer required for the purpose for which it was provided. The attached transfer language is included in a supplemental appropriations request presently before the Congress.

R78-1

Estimated Effect:

LEAA funds allocated to State and local governments, but not used by them, will be transferred, providing the Congress approves the transfer, for use in the Salaries and expenses accounts of General legal activities and the Antitrust Division.

Outlay Effect: (estimated in million of dollars)

Comparison with President's 1978 Budget:

1. Budget outlay estimate for FY 1978.....	807.6
2. Outlay savings, if any, included in the budget outlay estimate.....	-0-

Current Outlay Estimates for FY 1978

3. Without rescission.....	807.6
4. With rescission.....	807.3
5. Current outlay savings (line 3-line 4) 1/	.3
Outlay Savings for FY 1979 1/	1.5
Outlay Savings for FY 1980 1/	.9

1/ The outlay savings shown here would be offset in an equal amount by outlay increases in the two accounts receiving the additional funds by transfer.

R78-1

DEPARTMENT OF JUSTICE

LEGAL ACTIVITIES

Salaries and expenses, General Legal Activities

For an additional amount for "Salaries and expenses, General legal activities", $1,445,000, to be derived by transfer from "Salaries and expenses", Law Enforcement Assistance Administration.

Salaries and expenses, Antitrust Division

For an additional amount for "Salaries and expenses, Antitrust Division", $1,223,000, to be derived by transfer from "Salaries and expenses", Law Enforcement Assistance Administration.

[FR Doc.77-28772 Filed 9-28-77;8:45 am]

federal register

THURSDAY, SEPTEMBER 29, 1977

PART X

PRIVACY ACT ISSUANCES, ANNUAL PUBLICATION

Department/ Agency	FR Page Numbers	
	Systems of Records	Rules
Health, Education and Welfare Department	51922	52348

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE OFFICE OF THE SECRETARY

PRIVACY ACT OF 1974
Systems of Records; Annual Publication

The purpose of this document is to meet the requirements of 5 U.S.C. 552a(e)(4). This includes the annual republication of the Department of Health, Education, and Welfare's systems of records. This listing of notices is up-to-date as of August 31, 1977 and does not contain any material which would require a new or altered system report as described in OMB Circular A-108. Nonetheless, these notices do contain modifications for the purposes of completeness, clarity and correctness, as well as editorial changes.

There are, however, additional routine uses which were not previously published in the Federal Register. The routine use disclosures can be analyzed in their proper context by referring to the notices indicated by number and name in the following listing. These proposed routine uses and their systems numbers and names are as follow:

Health Services Administration (HSA)

1. "Disclosure may be made of such information regarding the commission of crimes or the occurrence of communicable diseases, child abuse, etc., as may be required to be disclosed by health facilities generally by the law of the State in which the facility is located."

09-15-0007 Patients Medical Records System (Bureau of Medical Service)

09-15-0019 Health and Medical Records System (Indian Health Service)

2. "Disclosure may be made to authorized organizations or individuals for the conduct of analytical and evaluation studies sponsored by the Indian Health Service."

09-15-0019 Health and Medical Records System (Indian Health Service)

3. "Disclosure may be made to a Congressional office in response to an inquiry from that office made at the request of the subject individual."

09-15-0019 Health and Medical Records System (Indian Health Service)

Center for Disease Control (CDC)

1. "Data may be sent to State Vital Statistics Divisions to obtain death certificates, and to Missing Person Location Agencies to find those individuals who cannot otherwise be located."

09-20-0030 Byssinosis Research at Burlington Industries (National Institute of Occupational Safety and Health)

09-20-0040 Pennsylvania Coal Miners Study (NIOSH)

09-20-0050 Appalachian Coal Miner Study 1963-1966 (NIOSH)

09-20-0069 Coal Miner Study in Charleston-Beckley, West Virginia (NIOSH)

2. "Data may be sent to Medical Division, Tennessee Valley Authority, in line with an Inter-Agency Agreement, to State Vital Statistics Divisions to obtain death certificates, and to Missing Person Location Agencies to find those individuals who cannot otherwise be located."

09-20-0128 Mortality of TVA Workers Exposed to Coal Handling Procedures (NIOSH)

3. "Disclosure may be made to individuals and organizations deemed qualified by the Secretary to carry out specific research solely for the purpose of carrying out such research." (45 CFR 5b. Appendix B, item (101))

09-20-0096 Tuskegee Study of Untreated Syphilis Medical Care Program (Bureau of State Services)

4. "Research Data are made available to approved or collaborating researchers, including HEW contractors and grantees."

09-20-0089 Study of Chemotherapy of Pulmonary Tuberculosis (Bureau of State Services)

09-20-0094 Drug Resistance Study for Tuberculosis (Bureau of State Services)

5. "Records may be disclosed to Health Departments and other public health or cooperating medical authorities."

09-20-0086 Persons of Isoniazed Prevention Treatment for Tuberculosis (Bureau of State Services)

09-20-0089 Study of Chemotherapy of Pulmonary Tuberculosis (Bureau of State Services)

09-20-0091 Rifampin in Initial Treatment of Pulmonary TB (Bureau of State Services)

09-20-0092 Rifampin—Isoniazed in Initial Treatment of Pulmonary TB (Bureau of State Services)

09-20-0094 Drug Resistance Study for TB (Bureau of State Services)

09-20-0096 Tuskegee Study of Untreated Syphilis Medical Care Program (Bureau of State Services)

09-20-0097 BCG Vaccination Studies for TB (Bureau of State Services)

09-20-0106 Microbiological Specimen Handling for Testing and Related Data (Bureau of Laboratories)

6. "The Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records."

09-20-0095 Zoster Immune Globulin Records on High Risk Immunosuppressed Children Exposed to Chickenpox, HEW CDC BSS

Several additional routine uses, as follows, are proposed to be added to system 09-20-0055, Research/Demonstration and Training Grants Application Files (National Institute of Occupational Safety and Health):

"To the Smithsonian Science Information Exchange for dissemination of science information (applies to research grants only and is in the form of abstracts)." "To the cognizant audit agency for auditing." "To qualified experts not within the definition of Department employees as prescribed in Department regulations (45 CFR, Part 5b.2) for opinions as a part of the application review process." "To a Federal agency, in response to its request, in connection with the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the record is relevant and necessary to the requesting agency's decision on the matter." "To individuals and organizations deemed qualified by PHS to carry out specific research related to the review and award processes of PHS." "To organizations in the private sector with whom PHS has contracted for the purpose of collating, analyzing, aggregating, or otherwise refining records in a system. Relevant records will be disclosed to such contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records." "To a grantee institution relative to performance or administration under the terms and conditions of the award."

Office of the Assistant Secretary for Health (OASH)

Three additional routine uses, as follows, are proposed to be added to system 09-37-0007, Commissioned Corps Personnel Files and Records (Office of Administrative Management):

"To prospective employers and other organizations at the request of the individual;" "to other Federal agencies in the event of appointment of former officers;" "to other Federal agencies to the extent necessary to obtain suitability and security investigation reports."

Social Security Administration (SSA)

1. "In response to legal process or an interrogatory relating to the enforcement of an individual's child support or alimony obligations as required by sections 459 and 461 of the Social Security Act."

09-60-0089 Claims Folder and Post-Adjudication Records. HEW SSA OPO

09-60-0090 The Master Beneficiary Record, HEW SSA OPO

09-60-0044 The Initial and Continuing Disability Determination File, HEW SSA OPO

09-60-0059 The Earnings Recording and Self-Employment Income System, HEW SSA OPO

09-60-0103 Supplemental Security Income Record, HEW SSA OPO

2. Routine use listing, item "o." for system No. 09-60-0090, Master Beneficiary Record HEW SSA, is expanded to permit the disclosure of information for use in the complete administration of the Medicaid program.

Prior to the final adoption of the proposed routine uses for these systems, consideration in accordance with the requirements of 5 U.S.C.

552a(e)(11) will be given to comments which are submitted in writing on or before October 31, 1977. Comments should be addressed to the Acting Director, Fair Information Practice Staff, Department of Health, Education, and Welfare, 200 Independence Ave., SW., Washington, D.C. 20201. Comments received will be available for inspection in Room 526E, South Portal Building, at the above address. The routine uses will be adopted as of the closing date of the comment period unless comment resulting in a contrary determination is received and a revised notice published.

The following routine use is in effect for all systems of records within the Department with the exceptions noted below:

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

The systems of records of the Office of Research and Statistics in SSA which are identified as: 09-60-0148; 09-60-0149; 09-60-0159; 09-60-0183; 09-60-0196; 09-60-0197; 09-60-0199; 09-60-0200; 09-60-0201; 09-60-0202; 09-60-0203; 09-60-0204 and 09-60-0209 do not include this routine use because statute/regulation preclude such disclosures from these systems.

Any additional modifications, additions, deletions, or corrections due to any inadvertent oversight will be published in later issues of the Federal Register.

It should be noted that there are certain routine uses that apply to a substantial number of HEW systems of records and that such uses have been set forth in the Appendix preceding the notices. In the notices of systems of records it is referred to by the following name: Appendix B of the Department Regulations (45 CFR Part 5b). Whenever this Appendix is cited, however, it is only the referenced line item which supplements the routine uses described in the rest of the system notice.

Dated: September 27, 1977.

JOHN D. YOUNG,
Assistant Secretary for Management and Budget.

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System Number	System Name
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09-37-0006	PHS Commissioned Officer Grievance; Equal Employment Opportunity; and Non-Board and Pre-Board Involuntary Retirement, Involuntary Separation and Disciplinary Files. HEW/OASH/OAM.
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09-30-0004	Intramural Research Program Records of Research Performed on In- and Out-Patients With Various Types of Mental Illness—HEW/ADAMHA/NIMH.
09-30-0005	Saint Elizabeths Hospital Research Subjects Data Record—HEW/ADAMHA/NIMH.
09-30-0006	The Saint Elizabeths Hospital Medical-Surgical Support Program File System—HEW/ADAMHA/NIMH.
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09-30-0008	Saint Elizabeths Hospital Social Services Record System—HEW/ADAMHA/NIMH.
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09-30-0012	Saint Elizabeths Hospital Pre-Service Education Records—HEW/ADAMHA/NIMH.
09-30-0013	Saint Elizabeths Hospital Training Videotape Records—HEW/ADAMHA/NIMH.
09-30-0014	Saint Elizabeths Hospital Financial System—HEW/ADAMHA/NIMH.
09-30-0015	Saint Elizabeths Hospital General Security System—HEW/ADAMHA/NIMH.
09-30-0016	Saint Elizabeths Hospital Patients Personal Property Record System—HEW/ADAMHA/NIMH.
09-30-0017	Saint Elizabeths Hospital Legal Office Record System—HEW/ADAMHA/NIMH.
09-30-0018	Saint Elizabeths Hospital Area D Community Mental Health Center Citizens Advisory Groups Records—HEW/ADAMHA/NIMH.
09-30-0019	Saint Elizabeths Hospital Court-Ordered Forensic Investigatory Materials File—HEW/ADAMHA/NIMH.
09-30-0020	Administrative Records on Civilly Committed Drug Abusers Under the Narcotic Addict Rehabilitation Act—HEW/ADAMHA/NIDA.
09-30-0021	Patient Medical Records on PHS Beneficiaries and Civilly Committeed Narcotic Addicts Treated at the PHS Hospitals at Lexington, Kentucky and Fort Worth, Texas—HEW/ADAMHA/NIDA.
09-30-0022	National Institute on Drug Abuse Addiction Research Center Federal Prisoner and Non-Prisoner Patient Files—HEW/ADAMHA/NIDA.
09-30-0023	Records of Contracts Awarded to Individuals.
09-30-0024	Saint Elizabeths Hospital General Administrative Record Systems—HEW/ADAMHA/NIMH.
09-30-0025	Maryland Psychiatric Case Register—HEW/ADAMHA/NIMH.
09-30-0026	Saint Elizabeths Hospital Research Project Record—HEW/ADAMHA/NIMH.
09-30-0027	Grants: Research, Research Training, Fellowships, Clinical Training, Community Services—HEW/ADAMHA/OA.
09-30-0028	Saint Elizabeths Hospital General Medical/Clinical Records System and Related Indexes—HEW/ADAMHA/NIMH.
09-30-0029	Record of Guest Workers—HEW/ADAMHA/OA.
09-30-0030	Record of Visiting Fellows—HEW/ADAMHA/OA.
09-30-0031	Saint Elizabeths Hospital Biometrics System—HEW/ADAMHA/NIMH.
09-30-0032	Records of Research on Alcohol Abusers and Addicts. HEW/ADAMHA/NIAAA.
09-30-0033	Correspondence Files—HEW/ADAMHA/OA.
09-20-0000	Cooperative Mycoses Study—HEW/CDC/OCD.
09-20-0001	Certified Interpreting Physician File—HEW/CDC/NIOSH.
09-20-0002	Study of Workers Exposed to Talc—HEW/CDC/NIOSH.
09-20-0003	Study of Workers Exposed to Bladder Carcinogens—HEW/CDC/NIOSH.
09-20-0004	Beta/Napthlyamine Workers Study—HEW/CDC/NIOSH.
09-20-0005	Study of Columbus Coated Fabrics Workers—HEW/CDC/NIOSH.
09-20-0006	Study of Phosphate Fertilizer Industry—HEW/CDC/NIOSH.
09-20-0007	Study of Union Carbide, Chrleston, W.Va. Plant—HEW/CDC/NIOSH.
09-20-0008	Coals Miner Workers' Study—HEW/CDC/NIOSH.
09-20-0009	Study of Workers Exposed to Methl Butyl Keton—HEW/CDC/NIOSH.
09-20-0010	Study of Mineral Wool Workers—HEW/CDC/NIOSH.
09-20-0011	Study of Metal Mine Workers—HEW/CDC/NIOSH.
09-20-0012	Study of Colloids, Inc. Workers—HEW/CDC/NIOSH.
09-20-0013	Gold Mine (Home Stake) Silicosis Study—HEW/CDC/NIOSH.
09-20-0014	Respirable Insulation Fibers Study—HEW/CDC/NIOSH.
09-20-0015	Bakers (White Lung) Study—HEW/CDC/NIOSH.
09-20-0016	Study of Bakers and Confection Workers, and other associated Industries—HEW/CDC/NIOSH.
09-20-0017	Silicosis (Brick Laters) Study—North Carolina—HEW/CDC/NIOSH.
09-20-0018	Control Study Group from the University of Utah for the Cosmetology Study—HEW/CDC/NIOSH.
09-20-0019	Study of Selected Environmental Protection Agency Employees in Cinncinati for Resporiatory Disease—HEW/CDC/NIOSH.
09-20-0020	Workers Exposed to Bis(Chloromethyl) Ether and Chloromethyl Methyl Ether—HEW/CDC/NIOSH.
09-20-0021	Study of Workers Exposed to Benzene—HEW/CDC/NIOSH.
09-20-0022	Uranium Miner Study in Far West—HEW/CDC/NIOSH.
09-20-0023	Bureau of Mines Study in Morgantown, West Virginia—HEW/CDC/NIOSH.
09-20-0024	Workers Exposed to Benzidine (Bladder Cancer)—HEW/CDC/NIOSH.
09-20-0025	Mine Envorcement Safety Administration (Mesa) Dust Measurement—HEW/CDC/NIOSH.
09-20-0026	Respiratory Infections Study in Guyan Valley, West Virginia— HEW/CDC/NIOSH.
09-20-0027	Radiation Exposure Records for NIOSH Employees in Morgantown—HEW/CDC/NIOSH.
09-20-0028	Silicosis Study in 30 Metal Mines 1958-1962—HEW/CDC/NIOSH.
09-20-0029	Byssinosis Study of Cordova, North Carolina. Klopman Steel Plant—HEW/CDC/NIOSH.
09-20-0030	Byssinosis Research at Burlington Industries—HEW/CDC/NIOSH.
09-20-0031	Histocompatibility Association of Pneumoconiosis (Black Lung) in Coal Workers—HEW/CDC/NIOSH.
09-20-0032	National Coal Miner Study—HEW/CDC/NIOSH.
09-20-0033	Vibration Laboratory Studies (Experimental Group)—HEW/CDC/NIOSH.
09-20-0034	Occupation Vibration Field Studies (Experimental Group)—HEW/CDC/NIOSH.
09-20-0035	Indicators of Physiological and Psychlogical Strain—HEW/CDC/NIOSH.
09-20-0036	Effects of Carbon Monoxide on Vigilance Performance of College Students—HEW/CDC/NIOSH.
09-20-0038	Epedemiological Study of United States Surface Coal Miners—HEW/CDC/NIOSH.
09-20-0039	Study of Workers in Tyler, Texas, Asbestos Plants—HEW/CDC/NIOSH.
09-20-0040	Pennsylvania Coal Miners Study—HEW/CDC/NIOSH.
09-20-0041	Purseglove- Mine (West Virginia) Shift Study—HEW/CDC/NIOSH.
09-20-0042	Study of Workers Exposed to Chlorinated Hydrocarbons. HEW/CDC/NIOSH.
09-20-0043	Pre-test Cosmetology Convention Study—HEW/CDC/NIOSH.
09-20-0044	Study of Cincinnati Fireworkers—HEW/CDC/NIOSH.
09-20-0045	Study of Pottstown, Pennsylvania, Chemical Plant Workers—HEW/CDC/NIOSH.
09-20-0046	Union Pacific Railroad Workers—Carbon Monoxide Study—HEW/CDC/NIOSH.
09-20-0047	Studies of Workers in Asbestos Related Industries—HEW/CDC/NIOSH.
09-20-0048	Study of Workers Exposed to Fibrous Glass—HEW/CDC/NIOSH.
09-20-0049	Workers Exposed to Cotton Dust—Byssinosis—HEW/CDC/NIOSH.
09-20-0050	Appalachian Coal Miner Study (1963-1966)—HEW/CDC/NIOSH.
09-20-0051	Kaiser Aluminum Employees at Revenswood, West Virginia Study—HEW/CDC/NIOSH.
09-20-0052	West Virginia Pulp and Paper Company Study—HEW/CDC/NIOSH.
09-20-0053	Coal Miner Medical Information Processing System—HEW/CDC/NIOSH.
09-20-0054	New Mexico Potash Miner Study—HEW/CDC/NIOSH.
09-20-0055	Research/Demonstation, and Training Grants, Application Files—HEW/CDC/NIOSH.

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09-20-0056	Metabolic Costs and Physiological Responses to Heat in Industrial Work—HEW/CDC/NIOSH.
09-20-0057	Kennecott Sulfur Dioxide Study—HEW/CDC/NIOSH.
09-20-0058	Potential Grant Applicant File—HEW/CDC/NIOSH.
09-20-0059	Division of Training Mailing List—HEW/CDC/NIOSH.
09-20-0060	Study of Metals Industry Workers—HEW/CDC/NIOSH.
09-20-0061	Cosmetology Workers Study (Thesaurosis)—HEW/CDC/NIOSH.
09-20-0062	Study of Workers Exposed to Polyvinyl Chloride in the Plastics Industry at Ashtabula, Ohio; Avon Lake, Ohio and Louisville, Kentucky—HEW/CDC/NIOSH.
09-20-0063	Biochemical Data System—HEW/CDC/NIOSH.
09-20-0064	Textile Workers Audiogram Results—HEW/CDC/NIOSH.
09-20-0065	Noise-Induced Temporary Threshold Shift Data—HEW/CDC/NIOSH.
09-20-0067	Coal Mine Hearing Study—HEW/CDC/NIOSH.
09-20-0068	Individuals Listed in the 1960 American Dental Association Directory—HEW/CDC/NIOSH.
09-20-0069	Coal Miner Study in Charleston-Beckley, West Virginia—HEW/CDC/NIOSH.
09-20-0070	Study of New Jersey Motor Vehicle Examiners Exposed to Carbon Monoxide—HEW/CDC/NIOSH.
09-20-0071	Determination of Normal Baseline Pulmonary Values—HEW/CDC/NIOSH.
09-20-0073	Hearing and Noise Study of Industrial Workers—HEW/CDC/NIOSH.
09-20-0074	Fireman Hearing Study—HEW/CDC/NIOSH.
09-20-0075	Hard Rock Miner Mortality Study—HEW/CDC/NIOSH.
09-20-0076	Uranium Mill Worker Study in Colorado—HEW/CDC/NIOSH.
09-20-0077	Survey of Arizona Asbestos Miners and Mill Workers (1969)—HEW/CDC/NIOSH.
09-20-0078	Berylliosis/Sarcoidosis Study of Beryllium Plant Workers—HEW/CDC/NIOSH.
09-20-0079	Medical Records of Patients Examined at NIOSH in Morgantown, West Virginia—HEW/CDC/NIOSH.
09-20-0080	Miner Neighbor Study in Pineville, West Virginia—HEW/CDC/NIOSH.
09-20-0082	Diagnosis of Occupational Disease by Analysis of Body Fluids or Tissues Through Biochemical or Clinical Chemical Analysis—HEW/CDC/NIOSH.
09-20-0083	Diagnostic Methods for Identification of Occupational Diseases Through Biopsy and/or Autopsy Specimens—HEW/CDC/NIOSH.
09-20-0084	Metal Mining Mortality Survey System—HEW/CDC/NIOSH.
09-20-0085	Children's Pulmonary Function Study—HEW/CDC/NIOSH.
09-20-0086	Surveillance of Persons on Isoniazid Preventive Treatment for Tuberculosis—HEW/CDC/BSS.
09-20-0087	Surveillance of Accidental Rubella Vaccination of Pregnant Women—HEW/CDC/BSS.
09-20-0088	Subacute Sclerosing Panencephalitis Surveillance—HEW/CDC/BSS.
09-20-0089	Study of Short-Course Chemotherapy of Pulmonary Tuberculosis—HEW/CDC/BSS.
09-20-0090	Study of Tuberculin Testing—HEW/CDC/BSS.
09-20-0091	Rifampin in Initial Treatment of Pulmonary Tuberculosis—HEW/CDC/BSS.
09-20-0092	Rifampin-Isoniazid in Initial Treatment of Pulmonary Tuberculosis—HEW/CDC/BSS.
09-20-0093	Tuberculosis Prophylaxis Studies—Alaska and Puerto Rico—HEW/CDC/BSS.
09-20-0094	Tuberculosis Primary Drug Resistance Study—HEW/CDC/BSS.
09-20-0095	Zoster Immune Globulin Records on High Risk Immunosuppressed Children Exposed to Chickenpox—HEW/CDC/BSS.
09-20-0096	Tuskegee Study of Untreated Syphilis Medical Care Program—HEW/CDC/BSS.
09-20-0097	Studies of the Effects of BCG Vaccinations for Tuberculosis—HEW/CDC/BSS.
09-20-0098	Congenital Rubella Registry—HEW/CDC/BSS.
09-20-0102	Alien Mental Waiver Program—HEW/CDC/BE.
09-20-0103	Alien Tuberculosis Follow-up Program—HEW/CDC/BE.
09-20-0106	Microbiology Specimen Handling for Testing and Related Data—HEW/CDC/BL.
09-20-0107	Dengue and Schistosomiasis Research Studies—HEW/CDC/BL.
09-20-0108	Diagnosis Program for Detection of Chromosomal Abnormalities in High Risk Patients—HEW/CDC/BL.
09-20-0109	Coronary Drug Project Files—HEW/CDC/BL.
09-20-0110	Clinical Associates Roster—HEW/CDC/BSS.
09-20-0111	Machinists Exposed to Cutting Oil Mist 1938–1967—HEW/CDC/NIOSH.
09-20-0112	CDC Exchange Visitor and Guest Researcher Records—HEW/CDC/OAM.
09-20-0113	Epidemic Investigation Case Records—HEW/CDC/BE.
09-20-0114	Supervisory Effects on Worker Safety in the Roofing Industry—HEW/CDC/NIOSH.
09-20-0115	Study of Noise and Hearing in Paper Working Industry—HEW/CDC/NIOSH.
09-20-0116	Study of Workers Exposed to Heavy Metals (Lead, Cadmium, etc.)—HEW/CDC/NIOSH.
09-20-0117	Medical and Test Record Results of Individuals Involved in NIOSH Laboratory Studies—HEW/CDC/NIOSH.
09-20-0118	Study at Work-Sites Where Agents Suspected of Being Occupational Hazards Exist—HEW/CDC/NIOSH.
09-20-0119	Mortality and Morbidity Study Among Oil Shale Workers—HEW/CDC/NIOSH.
09-20-0120	Equipment Field Test Studies—HEW/CDC/NIOSH.
09-20-0122	Study of Workers Exposed to Inorganic Chemicals—HEW/CDC/NIOSH.
09-20-0123	Study of Workers Exposed to Airborne Carcinogens in Woodworking Shops—HEW/CDC/NIOSH.
09-20-0124	Study of Workers Exposed to Toluene Diisocyanate (TDI)—HEW/CDC/NIOSH.
09-20-0126	Study of Workers Exposed to Organic Chemicals—HEW/CDC/NIOSH.
09-20-0127	Pilot Agricultural Noise Study—HEW/CDC/NIOSH.
09-20-0128	Mortality Study of Tennessee Valley Authority (TVA) Workers Exposed to Coal Handling Processes—HEW/CDC/NIOSH.
09-20-0129	Health Effects Study of Dust and Diesel Exhaust on Non-Coal Underground Miners—HEW/CDC/NIOSH.
09-20-0130	Study of Workers Exposed to Mineral Fibers—HEW/CDC/NIOSH.
09-20-0131	Study of Health Hazards in Animal Confinement Housing—HEW/CDC/NIOSH.
09-20-0132	Early Warning Indicators of Pesticides Exposure—HEW/CDC/NIOSH.
09-20-0133	Alaska Pipeline Cold Stress Study—HEW/CDC/NIOSH.
09-20-0134	Byssinosis Study—HEW/CDC/NIOSH.
09-20-0136	Epidemiologic Studies and Surveillance of Special Disease Problems—HEW/CDC/BE.
09-20-0137	Passport File—HEW/CDC/FMO.
09-20-0138	Epidemic Intelligence Service Officers Files—HEW/CDC/BE.
09-20-0139	Respiratory Disease Studies Involving Persons of West Virginia Coal Mining Communities—HEW/CDC/NIOSH.
09-20-0140	Medical Records of Vinyl Chloride and Carcinogen Workers—HEW/CDC/NIOSH.
09-20-0141	Coal Handlers' Study—HEW/CDC/NIOSH.
09-20-0142	Medical Health Surveillance of Grain Handlers—HEW/CDC/NIOSH.
09-20-0143	Occupational Hearing Loss in Coal Mining Regions—HEW/CDC/NIOSH.
09-20-0144	Mortality of Pesticide Formulators—HEW/CDC/NIOSH.
09-20-0145	Pulmonary Function Standards Study—HEW/CDC/NIOSH.
09-20-0146	Health Effects of Sulfur Oxides and Sulfuric Acid, Nitrogen Oxides, and Nitric Acid—HEW/CDC/NIOSH.
09-10-0001	Quality Assurance Program—HEW/FDA/HFO.

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09-10-0002	Regulated Industry Employee Enforcement Records—HEW/FDA/HFA.
09-10-0003	FDA Credential Holder File—HEW/FDA/HFO.
09-10-0004	Communications (Oral and Written) With the Public—HEW/FDA/HFA.
09-10-0005	State Food and Drug Official File—HEW/FDA/HFO.
09-10-0006	Radiation Registry of Physicians—HEW/FDA/HFX.
09-10-0007	Science Advisor Research Associate Program (SARAP)—HEW/FDA/HFO.
09-10-0008	Radiation Protection Program Personnel Monitoring System—HEW/FDA/HFX.
09-10-0009	Individual and Household Statistical Surveys and Special Studies on FDA Regulated Products—HEW/FDA/HFA.
09-10-0010	Clinical Investigator Records—HEW/FDA/HFD.
09-10-0011	Certified Retort Operators—HEW/FDA/HFF.
09-10-0012	Association of Official Analytical Chemists (AOCH) Member File—HEW/FDA/HFS.
09-10-0013	Employee Conduct Investigative Records—HEW/FDA/HFA.
09-10-0014	Service Contractor Employee Investigative Records—HEW/FDA/HFA.
09-35-0001	Applied Statistics Training Institute Applicants and Students—HEW/HRA/NCHS.
09-35-0002	National Center for Health Services Research Grants Records System—HEW/HRA/NCHSR.
09-35-0005	Cycle II Dentist Survey—HEW/HRA/BHM.
09-35-0007	Public Health Service Scholarship Program—HEW/HRA/BHM.
09-35-0009	Chattanooga Incremental Care Program—HEW/HRA/BHM.
09-35-0013	Indo-China Refugee Physicians and Medical Students—HEW/HRA/BHM.
09-35-0014	Special Nursing Research Fellowship Grants—HEW/HRA/BHM.
09-35-0016	Professional Nurse Traineeships—HEW/HRA/BHM.
09-35-0017	Health and Demographic Surveys Conducted in Probability Samples of the U.S. Population—HEW/HRA/NCHS.
09-35-0021	Disability Claims of the Nursing Student Loan Program—HEW/HRA/BHM.
09-35-0022	Disability Claims in the Health Professions Student Loan Program—HEW/HRA/BHM.
09-35-0023	Health Professions Student Loan Repayment Program—HEW/HRA/BHM.
09-35-0024	Health Professions Student Loan Cancellation—HEW/HRA/BHM.
09-35-0025	Physician Shortage Area Scholarship Program—HEW/HRA/BHM.
09-35-0026	Cuban Loan Program—HEW/HRA/BHM.
09-35-0027	Consultant Roster for Office of Health Resources Opportunity—HEW/HRA/OHRO.
09-35-0034	Health Manpower Inventories and Surveys—HEW/HRA/NCHS.
09-35-0035	Vital Statistics for Births, Deaths, Fetal Deaths, Marriages and Divorces Occurring in the United States During Each Year—HEW/HRA/NCHS.
09-35-0037	Dental Residency Program—HEW/HRA/BHM.
09-35-0041	Health Resources Utilization Statistics—DHEW/HRA/NCHS.
09-35-0042	Transfer of U.S. Students in Foreign Medical Schools to U.S. Schools—DHEW/HRA/BHM.
09-35-0043	Curricula Vitae of Consultants to the National Center for Health Statistics (NCHS)—DHEW/HRA/NCHS.
09-15-0001	Division of Federal Employee Health, Employee Health Records—HEW/HSA/BMS.
09-15-0002	Record of Patients' Personal Valuables and Monies—HEW/HSA/BMS.
09-15-0003	Contract Physicians and Consultants—HEW/HSA/BMS.
09-15-0004	Federal Employee Occupational Health Data System—HEW/HSA/BMS.
09-15-0005	Dental Research—Evaluation of Restorative Materials—HEW/HSA/BMS.
09-15-0006	Cooperative Research Studies System: Coronary Artery Disease—HEW/HSA/BMS.
09-15-0007	Patients Medical Record System PHS Hospitals/Clinics—HEW/HSA/BMS.
09-15-0008	Emergency Non-PHS Treatment Authorization File—HEW/HSA/BMS.
09-15-0009	Cooperative Research Studies System: Pyelonephritis—HEW/HSA/BMS.
09-15-0010	Cooperative Research Studies System: Essential Hypertension—HEW/HSA/BMS.
09-15-0011	End Stage Renal Disease (ESRD) Medical Information System (Registry)—HEW/HSA/BQA.
09-15-0012	Medicare Beneficiary Claims for Emergency Services—HEW/HSA/BQA.
09-15-0013	Cytotechnologists Proficiency Answer Sheets and Test Results (Medicare)—HEW/HSA/BQA.
09-15-0014	Physical Therapists Proficiency Answer Sheets and Test Results (Medicare)—HEW/HSA/BOA.
09-15-0015	Psychiatric Technician Proficiency Answer Sheets and Test Results (Medicare)—HEW/HSA/BQA.
09-15-0016	Clinical Laboratory Technologists Proficiency Answer Sheets and Test Results (Medicare)—HEW/HSA/BQA.
09-15-0017	Waivered Licensed Practical Nurse Proficiency Exam Answer Sheets and Test Results (Medicare)—HEW/HSA/BQA.
09-15-0018	Unofficial Vital Records System—HEW/HSA/IHS.
09-15-0019	Health and Medical Records Systems—HEW/HSA/IHS.
09-15-0020	Independent Laboratory Directors Proficiency Answer Sheets and Exam Results (Medicare)—HEW/HSA/BQA.
09-15-0022	Accounts Receivable—DHEW/HSA/BMS.
09-15-0026	Medical Fellowships and Educational Loans—DHEW/HSA/OA.
09-15-0027	National Health Service Corps (NHSC), Bureau of Medical Services (BMS) and Indian Health Services (IHS) Pre-Applicant Recruitment and Provider File—HEW/HSA/BCHS.
09-15-0028	PHS Clinical Affiliation Trainee Records—HEW/HSA/BMS.
09-15-0029	PHS Beneficiary-Contract Medical/Health Care Records—HEW/HSA/BMS.
09-25-0001	Clinical Research: Patient Records—HEW/NIH/NHLBI.
09-25-0002	Clinical Research: Phonocardiogram—HEW/NIH/NHLBI.
09-25-0003	Administration: Authorized Radionuclide Users File—HEW/NIH/DRS.
09-25-0004	Administration: NIH Chemical Carcinogen Registry—HEW/NIH/DRS.
09-25-0005	Administration: NIH Library Circulation and User I.D. File—HEW/NIH/DRS.
09-25-0007	Administration: NIH Safety Glasses Issuance Program—HEW/NIH/DRS.
09-25-0008	Administration: Radiation Workers Monitoring—HEW/NIH/DRS.
09-25-0009	Clinical Research: Radiotherapy Patient File. HEW/NIH/DRS.
09-25-0010	Clinical Resources: Registry of Microbial Agents, Toxins, Tissue Cultures and Animals & Users. HEW/NIH/DRS.
09-25-0011	Clinical Research: Blood Donor Records. HEW/NIH/CC.
09-25-0012	Clinical Research: Candidate Normal Volunteer Records. HEW/NIH/CC.
09-25-0013	Clinical Research: Preadmission Medical Records. HEW/NIH/CC.
09-25-0014	Clinical Research: Student Records. HEW/NIH/CC.
09-25-0015	Clinical Research: Collaborative Clinical Epilepsy Research. HEW/NIH/NINCDS.
09-25-0016	Clinical Research: Collaborative Perinatal Project. HEW/NIH/NINCDS.
09-25-0017	Clinical Research: Epidemiology Studies Files. HEW/NIH/NINCDS.
09-25-0019	Clinical Research: Genetic Counseling. HEW/NIH/NINCDS.
09-25-0020	Clinical Research: Genetics of Neurological Disorders. HEW/NIH/NINCDS.
09-25-0021	Clinical Research: Guam Patient/Control Registry. HEW/NIH/NINCDS.

System Number	System Name
09-25-0024	Clinical Research: Medical Neurology Branch Medical Histories. HEW/NIH/NINCDS.
09-25-0026	Clinical Research: Nervous System Studies. HEW/NIH/NINCDS.
09-25-0028	Clinical Research: Patient Medical Histories. HEW/NIH/NINCDS.
09-25-0031	Clinical Research: Serological and Virus Data in Studies Related to the Central Nervous System. HEW/NIH/NINCDS.
09-25-0033	International Activities: Fellowships Awarded by Foreign Organizations. HEW/NIH/FIC.
09-25-0034	International Activities: Scholars Program. HEW/NIH/FIC.
09-25-0035	International Activities: U.S. Foreign Health Exchange Programs. HEW/NIH/FIC.
09-25-0036	Grants: IMPAC (Grant/Contract Information). HEW/NIH/DRG.
09-25-0037	Clinical Research: Gerontology Research Center Longitudinal Aging Study. HEW/NIH/NIA.
09-25-0038	Clinical Research: Diabetes Mellitus Research Study of Southwestern American Indians. HEW/NIH/NIAMDD.
09-25-0039	Clinical Research: Diabetes Mellitus Research Study of Southwestern American Indians. HEW/NIH/NIAMDD.
09-25-0040	Clinical Research: Southwestern American Indian Patient Data. HEW/NIH/NIAMDD.
09-25-0041	Research Resources: Hormone Distribution. HEW/NIH/NIAMDD.
09-25-0042	Clinical Research: National Institute of Dental Research Patient Records. HEW/NIH/NIDR.
09-25-0043	Clinical Research: Pharyngeal Development. HEW/NIH/NIDR.
09-25-0044	Clinical Research: Sensory Testing Research Program. HEW/NIH/NIDR.
09-25-0046	Clinical Research: Catalog of Clinical Specimens. HEW/NIH/NIAID.
09-25-0047	Clinical Research: Cooperative Smallpox Vacine Study. HEW/NIH/NIAID.
09-25-0048	Clinical Research: Serology-Epidemiology Parasite Research. NEW/HEW/NIH/NIAID.
09-25-0049	Clinical Research: Atlanta Federal Prison Malaria Research Projects. HEW/NIH/NIAID.
09-25-0050	Trainees Record System. 09-25-00 NIAID.
09-25-0051	Grants: NIH Fellowship Payroll. HEW/NIH/DFM.
09-25-0053	Clinical Research: Vision Studies. HEW/NIH/NEI.
09-25-0054	Administration: Property Accounting. HEW/NIH/DES.
09-25-0055	Clinical Research: Property Accounting. HEW/NIH/NCI.
09-25-0057	Clinical Research: Burkitt's Lymphoma Registry. HEW/NIH/NCI.
09-25-0060	Clinical Research: DCT Clinical Investigations. HEW/NIH/NCI.
09-25-0064	Clinical Research: Japan Hawaii Cancer Studies. HEW/NIH/NCI.
09-25-0067	Clinical Research: National Cancer Incidence Surveys. HEW/NIH/NCI.
09-25-0068	Clinical Research: National Cancer Institute/American Cancer Society National Breast Cancer Screening of Antihypertensives. HEW/NIH/NCI.
09-25-0069	NIH Clinical Center Admissions of the NCI: HEW/NIH/NCI.
09-25-0074	Clinical Research: Veterans Administration Bladder and Prostate Cancer Clinical Trials. HEW/NIH/NCI.
09-25-0075	Administration: Principal Investigators Protection from Research Risks. HEW/NIH/OD.
09-25-0077	Research Resources: Viral Investigators Protection from Research Risks. HEW/NIH/NCI.
09-25-0078	Advisory Groups: Consultant File. HEW/NIH/NHLBI.
09-25-0084	Biographies.: Curricula Vitae. HEW/NIH/NIAMDD.
09-25-0087	Biographies: Employees and Consultants. HEW/NIH/NIAID.
09-25-0088	Research Resources: H-2 Soluble Antigen and H-2 Antiserum. HEW/NIH/NIAID.
09-25-0089	Research Resources: HL-A Antiserum and Tray Users. HEW/NIH/NIAID.
09-25-0091	Administration: General Files. HEW/NIH/NEI.
09-25-0093	Administration: Journal of the National Cancer Institute. HEW/NIH/NCI.
09-25-0095	Contracts: Carcinogenesis Contracts and Intramural Projects. HEW/NIH/NCI.
09-25-0096	Contracts: Contract Management System. HEW/NIH/NCI.
09-25-0097	Contracts: Division of Cancer Control and Rehabilitation. HEW/NIH/NCI.
09-25-0098	Contracts: Viral Oncology Contracts. HEW/NIH/NCI.
09-25-0099	Clinical Research: Patient Medical Records. HEW/NIH/CC.
09-25-0100	Clinical Research: Neuropharmacology Studies. HEW/NIH/NINCDS.
09-25-0102	Grants: Associates Program. HEW/NIH/DRG.
09-25-0105	Administration: Employee Health Records. HEW/NIH/OD.
09-25-0106	Correspondence: Executive Secretariat, NIH. HEW/NIH/OD.
09-25-0108	Personnel: Guest Workers/Visiting Fellows/Student Scientists. DHEW/NIH/DPM.
09-25-0111	Mailing List: NIH Guide to Grants and Contracts. DHEW/NIH/DRG.
09-25-0112	Grants: Research, Research Training, Fellowship and Construction Applications and Awards. HEW/NIH/OD.
09-25-0113	Professional Service Agreements (Medical/Legal Services). HEW/NIH/DAS.
09-25-0114	Personal Services Contractors. HEW/NIH/NIGMS.
09-25-0115	Curricula Vitae. HEW/NIH/NIAID.
09-25-0116	Professional Services Contracts. HEW/NIH/NIAID.
09-25-0117	U.S.-Japan Program. HEW/NIH/NIAID.
09-25-0118	Professional Services Contracts. HEW/NIH/NCI.
09-25-0121	Grants: Senior International Fellowships Program. DHEW/NIH/FIC.
09-25-0123	Clinical Trials Dealing with Fertility Regulating Methods. DHEW/NIH/NICHD.
09-25-0124	Pharmacology Research Associates—HEW/NIH/NIGMS.
09-25-0126	National Heart, Lung, and Blood Institute Epidemiological and Biometric Studies. DHEW/NIH/NHLBI.
09-25-0127	Clinical Trials Dealing with Phototherapy for Neonatal Hyperbilirubinemia—HEW/NIH/NICHD.
09-25-0128	Neural Prosthesis and Biomedical Engineering Studies. HEW/NIH/NINCDS.
09-25-0129	Clinical Research Studies Dealing with Hearing, Speech and Language Disorders. HEW/NIH/NINCDS.
09-25-0130	Environmental Epidemiologic Studies in the Division of Cancer Cause and Prevention. HEW/NIH/NCI.
09-25-0131	Clinical Epidemiologic Studies in the Division of Cancer Cause and Prevention. HEW/NIH/NCI.
09-25-0132	Research Studies Dealing with Prevention of Dental Caries, Plaque, and Gingivitus. HEW/NIH/NIDR.
09-25-0133	Kidney Transplant Histocompatibility Study (KTHS) DHEW/NIH/NIAID.
09-25-0134	Epidemiology Studies, National Institute of Environmental Health Sciences.
09-25-0135	Prophet System Research Prospectuses.
09-60-0001	Commissioner's Correspondence File HEW SSA OC.
09-60-0002	Automated Controlled Correspondence Extraction System HEW SSA OEA.
09-60-0003	Hearing File HEW SSA BHA.
09-60-0004	Appeals File HEW SSA BHA.
09-60-0005	Presiding Officer File HEW SSA BHA.
09-60-0006	Storage of Hearing Records: Tape Cassettes and Audiograph Discs HEW SSA BHA.
09-60-0007	Non-Provider Overpayment Recovery File HEW SSA BHI.
09-60-0008	Presiding Officer's Docket HEW SSA BHA.
09-60-0009	Hearings and Appeals Case Control System HEW SSA BHA.
09-60-0010	Hearings and Appeals Case Control Card File HEW SSA BHA.
09-60-0012	Listing of Vocational Experts and Medical Advisors HEW SSA BHA.
09-60-0013	Records of Usage of Medical Advisors HEW SSA BHA.

System Number	System Name
09-60-0014	Curriculum Vitae and Professional Qualifications of Staff Physicians and Medical Advisors HEW SSA BHA.
09-60-0015	List of Physicians Utilized as Readers of Black Lung X-Ray Films HEW SSA BHA.
09-60-0016	Health Insurance Master Record—HEW SSA BHI.
09-60-0017	Personnel Research and Merit Promotion Test Records HEW SSA OMA.
09-60-0018	Supplementary Medical Insurance Premiums (Buy-In) Master Record—HEW SSA BHI.
09-60-0019	Group Health Plan System HEW SSA BHI.
09-60-0020	Health Insurance Utilization Microfilm HEW SSAA BHI.
09-60-0021	Reconsideration and Hearing Case Files (Part A) Hospital Insurance Program HEW SSA BHI.
09-60-0022	Medicare Beneficiary Correspondence Files HEW SSA BHI.
09-60-0023	Alphabetical Name File (Folder) of Health Insurance Program Consultants HEW SSA BHI.
09-60-0024	Carrier Medicare Claims Records HEW SSA BHI.
09-60-0025	Medicare Benefit Check Records HEW SSA BHI.
09-60-0026	Review and Fair Hearing Case Files—Supplementary Medical Insurance Program HEW SSA BHI.
09-60-0027	Explanation of Medicare Benefit Records HEW SSA BHI.
09-60-0028	Intermediary Medicare Claims Records HEW SSA BHI.
09-60-0030	Employee Housing Request Files HEW SSA OMA.
09-60-0031	Employee Production and Accuracy Records HEW SSA OMA.
09-60-0032	Debtors, Credit Counseling and Consumer Protection HEW SSA OMA.
09-60-0033	Requests for Review of Proposed Contracts with Experts and Consultants HEW SSA OMA.
09-60-0034	Social Security Administration Contract Files HEW SSA OMA.
09-60-0037	General Criminal Investigation Files HEW SSA OMA.
09-60-0038	Employee Identification Card Files (Building Passes) HEW SSA OMA.
09-60-0039	Court Docket and Card File HEW SSA OMA.
09-60-0040	Supplemental Security Income Quality Assurance System HEW SSA OMA.
09-60-0042	Quality Assurance Casefile HEW SSA OMA.
09-60-0043	Daily Record of Certified Benefits HEW SSA OPO.
09-60-0044	Initial and Continuing Disability Determination File HEW SSA OPO.
09-60-0045	Black Lung Payment System HEW SSA OPO.
09-60-0046	Consultative Physician File HEW SSA OPO.
09-60-0047	Critical Case Processing Time HEW SSA OPO.
09-60-0049	Disability Data Record HEW SSA OPO.
09-60-0050	Completed Determination Record—Continuing Disability Determinations HEW SSA OPO.
09-60-0051	Administrative Disallowance Records for Technical Denials HEW SSA OPO.
09-60-0052	Disposition of Vocational Rehabilitation Report to Social Security Administration HEW SSA OPO.
09-60-0053	Reimbursement from Trust Fund for Vocational Rehabilitation Services HEW SSA OPO.
09-60-0055	Lag Period Between Initial Denial Notice and Reconsideration Study HEW SSA OPO
09-60-0056	Vocational Rehabilitation Savings Calculation HEW SSA OPO.
09-60-0057	Quality Evaluation Data Records HEW/SSA OPO.
09-60-0058	Master Files of Social Security Number Holders HEW SSA OPO.
09-60-0059	Earnings Recording and Self-Employment Income System HEW SSA OPO.
09-60-0060	Correspondence File of the Bureau of Data Processing HEW SSA OPO.
09-60-0061	Record of Earnings Information Furnished for Non-Program Purposes HEW SSA OPO.
09-60-0063	Total Resources and Information Management (TRIM) System of Assistant Bureau Director Systems HEW SSA OPO.
09-60-0064	Pending Social Security Number Applications HEW SSA OPO.
09-60-0065	Direct Input Source Documents HEW SSA OPO.
09-60-0066	Claims Development Record HEW SSA OPO.
09-60-0068	Payment Record File of Supplementary Medical (Medicare) Enrollees (Statistics) HEW SSA BHI.
09-60-0069	Record of Claims (Microfiche) HEW SSA OPO.
09-60-0070	Chronic Renal Disease Beneficiary History File HEW SSA BHI.
09-60-0071	Medicare Physician Supplier Master File HEW SSA BHI.
09-60-0073	SSA Health Insurance Program Review Team Case Files HEW SSA BHI.
09-60-0075	Congressional Bills File HEW SSA OPP.
09-60-0077	Congressional Inquiry File HEW SSA OPO.
09-60-0078	Public Inquiry Correspondence File HEW SSA OPO.
09-60-0079	Wage Item File HEW SSA OPO.
09-60-0080	Problem Case File HEW SSA OPO.
09-60-0081	Problem Case File (Supplemental Security Income) HEW SSA OPO.
09-60-0082	Forced Payment File (Supplemental Security Income) HEW SSA OPO.
09-60-0083	One Time Payment File HEW SSA OPO.
09-60-0084	Control File for Cases Before Presiding Officers HEW SSA OPO.
09-60-0085	Claims Leads HEW SSA OPO.
09-60-0089	Claims Folders and Post-Adjudicative Records of Applicants and Beneficiaries for Social Seucrity Administration Benefits HEW SSA OPO.
09-60-0090	Master Beneficiary Record HEW SSA OPO.
09-60-0091	Social Security Administration Claims Control System HEW SSA OPO.
09-60-0092	Automatic Control System for Case Folders HEW SSA OPO.
09-60-0093	Billing and Collection Master Record system HEW SSA OPO.
09-60-0094	Recovery Accounting for Overpayments HEW SSA OPO.
09-60-0095	Health Insurance Overpayment Ledger Cards HEW SSA OPO.
09-60-0096	Control System for Delayed, Critical, or Sensitive Case Inquiries HEW SSA OPO.
09-60-0097	Program Integrity Case Files HEW SSA OPO.
09-60-0100	Litigation Activity File HEW SSA OPO.
09-60-0101	Court Case Record File HEW SSA OPO.
09-60-0102	Fee Ledger System for Representatives HEW SSA OPO.
09-60-0103	Supplemental Security Income Record HEW SSA OPO.
09-60-0104	Supplemental Security Income Claims Data HEW SSA OPO.
09-60-0105	Claims Currently in Process File (Supplemental Security Income) HEW SSA OPO.
09-60-0107	Claims Index File (Supplemental Security Income) HEW SSA OPO.
09-60-0108	Advance Payment File (Supplemental Security Income) HEW SSA OPO.
09-60-0109	Overpayment File (Supplemental Security Income) HEW SSA OPO.
09-60-0110	Supplemental Security Income File of Refunds HEW SSA OPO.
09-60-0111	Debit Voucher File (Supplemental Security Income) HEW SSA OPO.
09-60-0113	Supplemental Security Income Priority Correspondence Staff Files HEW SSA OPO.
09-60-0114	State Data Exchange System (Supplemental Security Income) HEW SSA OPO.
09-60-0115	Supplemental Security Income Audit Trail Microfiche OPO.
09-60-0117	Age at First Payment of Retirement Insurance Benefit HEW SSA OPP.
09-60-0118	Non-Contributory Military Service Reimbursement System HEW SSA OPP.
09-60-0119	Special Age 72 Benefit Trust Fund Transfer Project HEW SSA OPP.
09-60-0120	Health Insurance Benefit and Acturial Sample Control System HEW SSA OPP.
09-60-0121	Actuarial Sample Health Insurance and Supplementary Medical Insurance (Medicare) HEW SSA OPP.
09-60-0122	Actuarial Sample Hospital Stay Record Study HEW SSA OPP.

System Number	System Name
09-60-0123	Actuarial Sample of Supplementary Medical Insurance Payments HEW SSA OPP.
09-60-0128	Retirement, Survivors and Disability Insurance Claims Study HEW SSA OPP.
09-60-0129	Adjudication of Supplemental Security Income Claims Study HEW SSA OPP.
09-60-0130	Quality of Service Measurement Program Based Upon Consumer Opinions HEW SSA OPP.
09-60-0134	Medicare Bill File (Statistics) HEW SSA OPP.
09-60-0135	Medicare Enrollment Records (Statistics) HEW SSA OPP.
09-60-0136	Health Insurance Enrollment Statistics—General Enrollment Period HEW SSA OPP.
09-60-0137	Supplementary Medical Sample Bill Summary File of Medicare Utilization (Statistics) HEW SSA OPP.
09-60-0138	Group Practice Prepayment Plan Line Item Sample of Medicare Utilization (Statistics) HEW SSA OPP.
09-60-0141	Current Medicare Survey (Statistics) HEW SSA OPP.
09-60-0142	Evaluation of the Impact of Surgical Screening Based Upon Union Member Utilization of the Pre-Surgical Consultant Benefit (Statistics HEW SSA OPP.
09-60-0146	Study of Medical Use Under the United Medical Clinic Plan or the Kaiser Health Plan (Statistics) HEW SSA.
09-60-0147	Annual 5 Percent Summary File of Services Reimbursed Under the Medicare Program (Statistics) HEW SSA OPP.
09-60-0148	Matches of Internal Revenue Service and Social Security Administration Data With Census Survey Data (Joint Social Security Administration/Census Statistics Development Project) HEW/SSA-OPP.
09-60-0149	Matches of Internal Revenue Service and Social Security Administration Data (Joint Social Security Administration/Treasury Department Statistics Development Project) HEW/SSA/OPP.
09-60-0159	Continuous Work History Sample (Statistics) HEW SSA OPP.
09-60-0180	Survey of Physicians' Administrative and Practice Costs and Medicaid Participation HEW SSA OPP.
09-60-0181	Ambulatory Surgery Research Project HEW SSA OPP.
09-60-0182	Physician/Supplier 1099 File (Statement for Recipients of Medical and Health Care Payments) HEW SSA BHI.
09-60-0183	Matches of Social Security Administration, Department of Defense and Veterans Administration Data Relating Earnings History to Armed Forces Training Experience. (Statistics) HEW/SSA/OPP.
09-60-0184	Hearing Office Master Calendar HEW SSA BHA.
09-60-0185	Service Officer Demonstration Project—HEW, SSA, OEA.
09-60-0186	Litigation Master Record File—HEW,SSA,OPP.
09-60-0187	Clinical Psychology/Expanded Ment. HEW/SSA/HI.
09-60-0188	Medicare Clinic Physician Supplier Master File. HEW/SSA/HI.
09-60-0189	Durable Medical Equipment Experimentation, HEW, SSA,HI.
09-60-0190	Medicare Hospital Discharge Validation File. HEW SSA HI.
09-60-0194	Direct Deposit Survey (Statistics). HEW SSA OPP.
09-60-0195	Professional Qualification Files. HEW SSA HI.
09-60-0196	Disability Studies Survey Records, (Statistics) HEW. SSA.OPP.
09-60-0197	Disability Studies Records and Extracts (Statistics)—HEW/SSA/OPP.
09-60-0198	Extramural Research Administrative File—HEW/SSA/OPP.
09-60-0199	Extramural Surveys (Statistics) HEW/SSA/OPP.
09-60-0200	Retirement and Survivors Studies Survey Records (Statistics)—HEW/SSA/OPP.
09-60-0201	Retirement and Survivors Studies Records and Extracts (Stratistics) HEW/SSA/OPP.
09-60-0202	Old Age, Survivors and Disability Beneficiary and Worker Records and Extracts (Statistics) HEW/SSA/OPP.
09-60-0203	Supplementary Security Income (SSI) Studies Survey Records (Statistics) HEW/SSA/OPP.
09-60-0204	Supplementary Security Income (SSI) Studies Records and Extracts (Statistics) HEW/SSA/OPP.
09-60-0205	Indochina Refugee and Sponsor System, HEW-OS-IRTF (Indochina Refugee Task Force) Volag Billing and Validation System, Volag Program Progress Reporting System, HEW/SRS Refugee Financial Assistance System HEW SSA OFA.
09-60-0206	Repatriate Records System. HEW SSA/OFA.
09-60-0207	Cuban Refugee Registration Records. HEW SSA/OFA.
09-60-0208	Program Integrity Management Information and Control system HEW SSA OPO.

Appendix B

Routine uses applicable to more than one system of records maintained by HEW

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

(2) Referrals may be made of assignments of research investigators and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange, Inc.

(3) In the event the Department deems it desirable or necessary, in determining whether particular records are required to be disclosed under the Freedom of Information Act, disclosure may be made to the Department of Justice for the purpose of obtaining its advice.

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

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

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

(6) Where federal agencies having the power to subpoena other federal agencies' records, such as the Internal Revenue Service or the Civil Rights Commission, issue a subpoena to the Department for records in this system of records, the Department will make such records available.

(7) Where a contract between a component of the Department and a labor organization recognized under E.O. 11491 provides that the agency will disclose personal records relevant to the organization's mission, records in this system of records may be disclosed to such organization.

(8) Where the appropriate official of the Department, pursuant to the Department's Freedom of Information Regulation determines that it is in the public interest to disclose a record which is otherwise exempt from mandatory disclosure, disclosure may be made from this system of records.

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

(10)—(99) (Reserved)

(100) To the Department of Justice or other appropriate Federal agencies in defending claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual.

(101) To individuals and organizations, deemed qualified by the Secretary to carry out specific research solely for the purpose of carrying out such research.

(102) To organizations deemed qualified by the Secretary to carry out quality assessment, medical audits or utilization review.

(103) Disclosures in the course of employee discipline or competence determination proceedings.

09-90-0001

System name: Telephone Directory/locator System HEW-OS-ASMB-OMAS.

Security classification: None.

System location: Operating Offices and Facility Complexes of the Department - Employee Locators and Offices of Administrative Services.

Categories of individuals covered by the system: Current employees of the Department.

Categories of records in the system: Name, title, agency, office address, business extension, some systems contain SSN for control purposes (not released).

Authority for maintenance of the system: 5 USC 301, 40 USC 486(c).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Variously stored in card files, computer printouts, paper forms, magnetic tape.

Retrievability: Alphabetically by employee name, in certain instances also by agency and/or title; some large systems use SSN as control to delete information on individuals no longer employed by Department. SSN not given out. Used to compile internal telephone and locator directories.

Safeguards: Authorized personnel only have access to master list; where SSN is used as control for up-dates, it is supressed from print-out of locator information.

Retention and disposal: Retained as long as individual is employed by Department, then information deleted from file by appropriate method.

System manager(s) and address:

Telecommunications Management Officer
Department of Health, Education, and Welfare
Office of the Assistant Secretary for Management and Budget
Office of Management Analysis and Systems
200 Independence Ave., S. W.
Washington, D. C. 20201

Notification procedure: Contact Locator Office where employed.

Record access procedures: Contact Administrative Services Officer in building where employed.

Contesting record procedures: Same as above.

Record source categories: Individual employee.

09-90-0002

System name: Investigatory Material Compiled for Security and Suitability Purposes System, HEW/OS/ASPER/PT

Security classification: None for the system; however, a portion of the records within the system are classified at the level of Confidential, Secret, and Top Secret.

System location:

Division of Security
Room 523B, South Portal Bldg.
U.S. Department of Health, Education, and Welfare
200 Independence Avenue, S.W.
Washington, D.C. 20201
Regional Federal Record Center

Categories of individuals covered by the system: Applicants, employees, former employees and others doing business with the Department.

Categories of records in the system: Security investigations case index card file.

Authority for maintenance of the system: Executive Orders 10450 and 11652.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records may be used as follows:

a. See Appendix B Departmental Regulations (45 CFR Part 5b) Items 1,4,5.
b. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
c. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: The records are maintained in security type vaults or safes or lock bar file cabinets with manipulation proof combination locks.

Retrievability: The records are alphabetically indexed by name and date of birth of the individual subject of the file or by cross reference to another file. Access within HEW is limited to the Secretary, and on a need-to-know basis other officials having the program management responsibility.

Safeguards: Direct access is restricted to authorized Division of Security staff. Access to the safes in which the records are stored is limited to those Division of Security employees with appropriate security clearances and the lock combination.

Retention and disposal: Security investigative records on individuals who occupy sensitive positions are maintained during the term of their employment. Other security investigative records are maintained for ten years if subject to EO 10450. All other files destroyed after three years.

System manager(s) and address:

Director, Division of Security
Room 523B, South Portal Bldg.
U.S. Department of Health, Education, and Welfare
200 Independence Avenue, S.W.
Washington, D.C. 20201

Notification procedure: System Manager; for general inquiries, include name, date of birth, and employment or other affiliation with the Department.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Federal, state or local agencies maintaining civil, criminal, suitability, or other relevant enforcement information or other pertinent information, correspondence and material or data obtained during the course of the conduct of the investigations.

Systems exempted from certain provisions of the act: Individuals will be provided information from this record system except when in accordance with the provisions of 5 USC 552a(k)(5): 1. disclosure of such information would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence, or 2. if the information was obtained prior to the effective date of Section 3, P.L. 93-579, disclosure of such information would reveal the identity of a source who provided information under an implied promise that the identity of the source would be held in confidence. (45 CFR 5b.11).

09-90-0003

System name: Investigative Files of the Inspector General, HEW/OS/OIG

Security classification: None.

System location:

Office of Inspector General, DHEW
Room 5246, North Bldg.
330 Independence Ave., S.W.
Washington, D.C. 20201

Categories of individuals covered by the system: Employees, former employees, grantees, contractors, sub-contractors, carriers, State agencies, State employees, providers and recipients under DHEW programs, providers and recipients under State programs funded by the Department and others doing business with the Department.

Categories of records in the system: Criminal Investigation Files.

Authority for maintenance of the system: 28 U.S.C. 535 (b); 18 U.S.C.; P.L. 94-505, Oct. 15, 1976.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Appendix B Departmental Regulations (45 C.F.R. Part 5b), Items (1)(4),(5). Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: The records are maintained in security type safes or lock bar file cabinets with manipulation proof combination locks.

Retrievability: The records are retrievable by manual search of alphabetical index and cross-index cards listing individuals, companies and organizations.

Safeguards: Direct access is restricted to authorized staff members of the Office of Inspector General. Access within DHEW is limited to the Secretary, Under-Secretary, Inspector General and other officials and employees on a need-to-know basis. Intra-agency transfers are made in accordance with the statement of Organization, Functions and Delegations of Authority as set out in a notice concerning the Office of Inspector General (42 F.R. 17531, April 1, 1977).

Retention and disposal: Investigative files are retained for 5 years after completion of the investigation and/or actions based thereon. Index and cross-reference cards are retained permanently.

System manager(s) and address:

Assistant Inspector General for Investigations
Room 5246, North Bldg.
U.S. Department of Health, Education and Welfare
330 Independence Ave., S.W.
Washington, D.C. 20201

Notification procedure: Exempt, however consideration will be given requests addressed to the system manager. For general inquiries the name and date of birth of the individual.

Record access procedures: Exempt, however consideration will be given to requests addressed to the system manager.

Contesting record procedures: Contact System Manager.

Record source categories: Departmental and other federal, state and local government records; interviews of witnesses; documents and other material furnished by non-government sources. Sources may include confidential sources.

Systems exempted from certain provisions of the act: General exemption (j)(2), this system was formerly known as the Investigatory materials compiles for Law Enforcement Purposes system. Pursuant to 45 C.F.R. 5b.11, (b)(2)(i)(B), 40 F.R. 47413 (Oct. 8, 1975) this system is exempt from the following subsections of the Act (c)(3), (d)(1)-(4), (e)(3), and (e)(4)(G) & (H).

09-90-0005

System name: Safety Management Information System (HEW Accident, Injury and Illness Reporting System). HEW/OS/ASMB/SM

Security classification: None.

System location: At Departmental Regional and Headquarters facilities (see Appendix 1).

Categories of individuals covered by the system:

1. HEW Employees, including both civilian and commissioned corps personnel, who are involved in an accident which arises out of and in the course of their employment whether occurring on HEW premises or not and results in:
   a. A fatality.
   b. Lost workdays beyond the day in which the accident occurred.
   c. Nonfatal injuries which result in transfer to another job, termination of employment, medical treatment other than first aid, loss of consciousness or restriction of work or motion.
   d. A possible tort claim.
   e. A claim for compensation.
   f. Property damage in excess of
   50.00.
   g. Interrupts or interferes with the orderly progress of work of other employees.
   h. Radiation over exposure.
   i. Biological exposure resulting in lost time or accidental release of biologicals where the public may be over-exposed.

2. Visting scientists, contractor personnel, hospitalized patients, out-patients, employees of other Federal agencies, state or local governments or members of the public who suffer injury, illness or property damage on or in HEW premises or as a result of HEW activities.

Categories of records in the system: This system consists of a variety of information and supporting documentation resulting from the reporting and investigation of accidents which have resulted in injury, illness, property damage or the interruption or interference with the orderly progress of work. The records contain information about individuals involved in or experiencing accidents including but not limited to the severity of the injury, whether consciousness was lost, the type of injury, culmination of any injury, days lost from work if any, the nature of the injury, illness or disease, the body part affected, causal factors, weather factors, agency of accident, whether unsafe mechanical, physical, or personal acts or factors were involved, the accidents area of origin and if fire was involved, the type and form of materials involved. Property damage (both public and private) is noted through the property sequency number, who owned the property involved, property damaged and actual or estimated monetary loss, the HEW installation number if appropriate and the year of manufacture or construction if appropriate. Identifiers relating to a particular accident include the organization, case number assigned, date and time of occurrence, state or territory, site, type and classification of accident, estimated amount of tort claims if appropriate, name of individual(s) involved, the social security number, sex, age, grade series and level, CSC series, address, other Departments notified of accident, duty status, activity at time of accident and time on duty before accident. Management's evaluation and corrective action taken or proposed is also noted.

Authority for maintenance of the system: Section 19 of the Occupational Safety and Health Act of 1970 (PL 91-596); 5 U.S.C. 7902; 29 CFR Part 1960; Executive Order No. 11807

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

a. See Appendix B, Departmental Regulations (45 CFR Part 5b) Items 01,5
b. To request from a Federal, state, local agency or private sources information relevant to the investigation of an accident and/or corrective action.
c. To respond to an inquiry from a member of Congress made on behalf of a constituent.
d. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Records are or may be maintained on magnetic tapes, punchcards, lists, forms, discs, computer storage, in file folders, binders and index cards.

Retrievability:

1. At the Departmental level, the system is completely computerized with no other records normally maintained or retained in the Office of Safety Management. While individual identifiers such as name, case number, and social security number are within the computer storage banks, special programming would be required to extract individual records. Normal output consists of statistical reports and surveys including those required by the Department of Labor and Statistical Analysis in support of the Departmental occupational safety and health program for dissemination to the Principal Operating Components, Regions and Staff Offices.
2. The Principal Operating Components of the Department, their sub-components, Regional Offices and Staff Offices may maintain original or copies of the accident reports and supporting documentation by name, social security number, case number or cross reference.
3. Establish a written record of the causes of accidents.
4. Provide information to initiate and support corrective or preventive action.
5. Provide statistical information relating to accidents resulting in occupational injuries, illnesses, and/or property damage.
6. Provide management with information with which to evaluate the effectiveness of safety management programs.
7. Provide the means for complying with the reporting requirements of Section 19 of the Occupational Safety and Health Act of 1970 and such other reporting requirements as may be required by legislative or regulative requirements.
8. Provide such other summary descriptive statistics and analytical studies as necessary in support of the function for which the records are collected and maintained including general requests for statistical information without personal identification of individuals.
9. Information in these records is used by or may be disclosed to: a. The Office of Safety Management, Office of the Secretary, HEW in the review of accident experience data to determine the adequacy of corrective actions, the effect of codes, standards and guides, the consolidation, summarization and dissemination of accident experience data throughout HEW and other Government Departments and agencies as needed or required. b. The supervisor, administrative officer or other official initiating an accident report, including each succeeding reviewing official in the chain of command through which the report passes to insure that corrective action, as needed and appropriate, is taken. c. Appropriately appointed Safety Directors, Officers, or others with safety responsibilities within the Department in the verifying, assembling, analyzing, summarizing and disseminating data concerning the accident experience in their areas of responsibility and the initiation of appropriate corrective action.

Safeguards: Access to and use of these records is made available to those personnel having a legitimate need for the information (those whose duties require review or access) including inspecting or evaluating personnel. Records, which under the law, may not be disclosed such as information pertinent to national security or trade secrets are maintained separately, adequately safeguarded and released only in accordance with the law. When there is doubt regarding the release of information, the matter will be referred, in advance of release, to the Office of the General Counsel, HEW.

Retention and disposal: All accident reports, records, logs, and other information relating to an accident are retained by the Principal Operating Components and their agencies, the Regional Offices and the Office of the Secretary for at least five years following the end of the calendar year in which the accident occurred. Specific occupational safety and health standards (such as the standards covering the handling of carcinogenic chemicals) may be required to be kept for up to twenty years. Records may be retained indefinitely.

System manager(s) and address:

Director
Office of Safety Management
Department of Health, Education, and Welfare
330 Independence Avenue, S.W.
Washington, D.C. 20201

Notification procedure: Individuals wishing to inquire whether this system of records contains information about them should address their inquiries to one of the following as appropriate:

1. If employed or formerly employed in HEW Regional Office, the Regional Occupational Safety and Health Manager of the Region involved (see list and addresses under appendix).
2. If employed or formerly employed in a HEW Principal Operating Component or sub-agency, a staff office or the Office of the Secretary, the Occupational Safety and Health Manager of the component where employed with the exception of the Food and Drug Administration (see list and addresses under appendix). The contact for the Food and Drug Administration is:

Privacy Act Coordinator
Food and Drug Administration
5600 Fishers Lane
Rockville, Maryland 20852 Individuals requesting information about this system of records should provide their full name, social security number, name and address of office and agency in which currently or formerly employed and the accident(s) case number if known.

Record access procedures: Individuals wishing to gain access to or contest their records should contact the following in person or writing as appropriate; with the exception of Food and Drug Administration, See 'Notification' above. 1. If employed or formerly employed in a HEW Regional Office, the Regional Occupational Safety and Health Manager of the Region involved (see list and addresses under appendix). 2. If employed or formerly employed in a HEW Principal Operating Component or sub-agency, a staff office or the Office of the Secretary, the Occupational Safety and Health Manager of the component where employed. (see list and addresses under appendix). Individuals requesting informtion in this system of records should provide their full name, social security number (on a purely voluntary basis), case number if known, time and brief description of the accident in which they were involved and the name and address of office in which employed.

Contesting record procedures: Same as above.

Record source categories: The information in this system is obtained from the following sources: 1) the individual to whom the record pertains; 2) witnesses to the accident; 3) investigating officials (Federal, state, local); 4) medical personnel seeing the individual as a result of the accident; 5) supervisory personnel; 6) reviewing officials; 7) personnel offices; 8) investigative material furnished by Federal, state, or local agencies; 9) on site observations.

Appendix

Region I:
HEW Regional Safety and Occupational Health Manager
John F. Kennedy Federal Building - Room 1503
Government Center
Boston, Massachusetts 02203

Regional II:
HEW Regional Safety and Occupational Health Manager
Federal Building - Room 3835
26 Federal Plaza
New York, New York 10007

Regional III:
HEW Regional Safety and Occupational Health Manager
3535 Market Street
Philadelphia, Pennsylvania 19101

Regional IV:
HEW Regional Safety and Occupational Health Manager
50 7th Street, N.E. - Room 447
Atlanta, Georgia 30323

Regional V:
HEW Regional Safety and Occupational Health Manager
300 South Wacker Drive - 35th Floor
Chicago, Illinois 60606

Regional VI:
HEW Regional Safety and Occupational Health Manager
1114 Commerce Street - Room 1025
Dallas, Texas 75202

Regional VII:
HEW Regional Safety and Occupational Health Manager
601 East 12th Street - Room 566
Kansas City, Missouri 64106

Regional VIII:
HEW Regional Safety and Occupational Health Manager
1961 Stout Street - Room 11037
Denver, Colorado 80202

Regional IX:
HEW Regional Safety and Occupational Health Manager
Federal Office Building - Room 8
50 Fulton Street
San Francisco, California 94102

Regional X:
HEW Regional Safety and Occupational Health Manager
Arcade Plaza - Room 6003
1321 Second Avenue
Seattle, Washington 98101

Office of Education:
Safety Officer
FOB 06 - Room 1175
400 Maryland Avenue, S.W.
Washington, D.C.

National Institute of Education:
Safety Officer
1200 19th Street, N.W.
Washington, D.C. 20208

Health Care Financing Adminsitration:
Safety Officer
Room 5006 - Switzer Building
300 C Street, S.W.
Washington, D.C. 20201

Social Security Administration:
Director, Occupational Health Management
Room 3205 Annex
6401 Security Boulevard
Baltimore, Maryland 21235

Office of the Secretary, HEW
Safety Officer
Room 507B South Portal Building
Department of Health, Education, and Welfare
200 Independence Avenue, S.W.
Washington, D.C. 20201

Public Health Service:
Director, Division of Health Facilities Planning
Room 18-42 - Parklawn Building
5600 Fishers Lane
Rockville, Maryland 20852

Alcohol, Drug Abuse, and Mental Health Administration:
Safety Officer
Room 6-105 - Parklawn Building
5600 Fishers Lane
Rockville, Maryland 20852

Center for Disease Control:
Chief, Office of Biosafety
Building 8 - Room 232
1600 Clifton Road, N.E.
Atlanta, Georgia 30333

Food and Drug Administration
Safety and Occupational Health Manager
Room 10-71 - Parklawn Building
5600 Fishers Lane
Rockville, Maryland 20852

Health Resources Administration:
Safety Officer
Room 10A-19 - Parklawn Building
5600 Fishers Lane
Rockville, Maryland 20852

National Institutes of Health:
Associate Director, Environmental Health and Safety, Division of Research Sciences
Room 4051 - Building 12A
9000 Rockville Pike
Bethesda, Maryland 20014

09-90-0006

System name: Applicants for Employment Records. HEW/OS/ASPER/PT.

Security classification: None.

System location: This system is located in personnel offices and other offices of the Department authorized to receive applications for employment. See Appendix 1.

Categories of individuals covered by the system: Persons who have applied for Federal employment or are employed in the Federal service.

Categories of records in the system: These records contain information relating to the education and training; employment history and earnings; appraisal of past performance; convictions and offenses against the law; results of written tests; appraisal of potential; honors, awards or fellowships; military service; 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; and correspondence related thereto. These records may also include information concerning the date of application, qualification status, employment consideration, priority grouping, and other information relating to the consideration of the individual for employment.

Authority for maintenance of the system: 5 U.S.C. 1302, 3301, 3302, Executive Order 10577.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records may be used: 1) to respond to requests for information from the Civil Service Commission, Members of Congress, or other inquirers from outside the Department, to the extent their request is compatible with the purpose for which the records are maintained; 2) See Appendix B Departmental Regulations (45 CFR Part 5b), Items 01,3,4, 5,6,7,8,9; 3) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

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

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

Storage: Records are maintained on magnetic tapes, discs, drums, punched cards, microfiche, cards, lists, and forms.

Retrievability: Records are indexed by any combination of name, birth date, social security number and identification number. Records are used to refer applicants to officials of the Department for placement in positions for which applicant has applied and is qualified.

Safeguards: Access to and use of these records are limited to those persons whose official duties require such access. Personnel screening is employed to prevent unauthorized disclosure.

Retention and disposal: Destroy 2 years after date application or correspondence is filed, or incorporate in official personnel folder when applicant enters on duty as a Department employee.

System manager(s) and address: Personnel Officers of the Department. See Appendix 1.

Notification procedure: Personnel office to which application is made (see Appendix 1). Individual should provide name, date of birth, social security number, approximate date of record and title of position for which application was made.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information in this system of records is provided by the individual to whom it applies; is derived from information he or she supplied; or is obtained from information supplied by others.

Systems exempted from certain provisions of the act: None.

Appendix 1

Personnel Offices in Department of Health, Education, and Welfare

Department Staff Personnel Office:

Deputy Assistant Secretary for Personnel and Training
Office of Personnel and Training
Assistant Secretary for Personnel Administration
Office of the Secretary
Department of Health, Education, and Welfare
330 Independence Avenue, S. W., Transpoint Bldg.
Washington, D. C. 20201

Headquarters Personnel Offices:

Personnel Officer
Division of OS Personnel
Office of the Secretary
Department of Health, Education, and Welfare
Room 4361 - 4th Floor
330 Independence Avenue, S. W.
Washington, D. C. 20201

Personnel Officer
Personnel and Training Division
Office of Education
Department of Health, Education, and Welfare
Room 1087 - FOB06
400 Maryland Avenue, S. W.
Washington, D. C. 20202

Personnel Officer
Personnel Division
National Institue of Education
Department of Health, Education, and Welfare
Room 642, Brown Bldg.
1200 19th Street, N.W.
Washington, D. C. 20208

Personnel Officer
Divison of Personnel
Health Care Financing Administration
Department of Health, Education, and Welfare
Room 2500
330 C Street, S. W.
Washington, D. C. 20201

Personnel Officer
Office of Human Development
Department of Health, Education, and Welfare
Room 347D, South Portal Building
200 Independence Ave., S.W.
Washington, D.C. 20201

Personnel Director
Office of Personnel Management
Public Health Service
Department of Health, Education, and Welfare
Room 18A-55 - Parklawn Building
5600 Fishers Lane
Rockville, Maryland 20852

Director
Division of Personnel Management
Alcohol, Drug Abuse, and Mental Health Administration
Department of Health, Education, and Welfare
Room 1295 - Parklawn Building
5600 Fishers Lane
Rockville, Maryland 20852

Personnel Officer
Saint Elizabeths Hospital, ADAMHA
Department of Health, Education, and Welfare
Room 120 - E Building
2700 Martin Luther King Avenue, S. E.
Washington, D. C. 20032

Personnel Director
Division of Personnel Management
National Institutes of Health

Department of Health, Education, and Welfare
Room 21 - Building 1
9000 Rockville Pike
Bethesda, Maryland 20014

Personnel Officer
Personnel Office
National Library of Medicine
Department of Health, Education, and Welfare
8600 Rockville Pike, Room M-105
Bethesda, Maryland 20014

Chief
Personnel Management Branch
National Cancer Institute
Department of Health, Education, and Welfare
Room 3A32 - Building 31
9000 Rockville Pike
Bethesda, Maryland 20014

Chief
Personnel Management Branch
National Heart and Lung Institute
Department of Health, Education, and Welfare
Room 5A32 - Building 31
9000 Rockville Pike
Bethesda, Maryland 20014

Director
Division of Personnel Management
Health Resources Administration
Department of Health, Education, and Welfare
Room 9-22, FCB 02
3700 East-West Highway
Hyattsville, Maryland 20782

Director
Office of Personnel
Health Services Administration
Department of Health, Education, and Welfare
Room 14A-20 - Parklawn Building
5600 Fishers Lane
Rockville, Maryland 20852

Personnel Director
Food and Drug Administration
Department of Health, Education, and Welfare
Room 4B-06 - Parklawn Building HFA-400
5600 Fishers Lane
Rockville, Maryland 20852

Personnel Officer
Bureau of Health Manpower
Department of Health, Education, and Welfare
Room 5B-44 - Building 31
9000 Rockville Pike
Bethesda, Maryland 20014

Personnel Officer
Office of the Assistant Secretary for Health
Department of Health, Education, and Welfare
Room 4-36, Parklawn Bldg.
5600 Fishers Lane
Rockville, Maryland 20852

Regional Personnel Offices:

Regional Personnel Officer
Region I
Department of Health, Education, and Welfare
John F. Kennedy Federal Building
Government Center - Room 1503
Boston, Massachusetts 02203

Regional Personnel Officer
Region II
Department of Health, Education, and Welfare
Federal Building
26 Federal Plaza
New York, New York 10007

Regional Personnel Officer
Region III
Department of Health, Education, and Welfare
3535 Market Street, Room 9460
Philadelphia, Pennsylvania 19101

Regional Personnel Officer
Region IV
Department of Health, Education, and Welfare
Room 415
50 Seventh Street, N. E.
Atlanta, Georgia 30323

Regional Personnel Officer
Region V
Department of Health, Education, and Welfare
31st Floor
300 S. Wacker Drive
Chicago, Illinois 60606

Regional Personnel Officer
Region VI
Department of Health, Education, and Welfare
10th Floor
1200 Main Tower Bldg.
Dallas, Texas 75202

Regional Personnel Officer
Region VII
Department of Health, Education, and Welfare
Room 468
601 E. 12th Street
Kansas City, Missouri 64106

Regional Personnel Officer
Region VIII
Department of Health, Education, and Welfare
Room 10410
Federal Office Building
1961 Stout Street
Denver, Colorado 80294

Regional Personnel Officer
Region IX
Department of Health, Education, and Welfare
50 Fulton Street
San Francisco, California 94102

Regional Personnel Officer
Region X
Department of Health, Education, and Welfare
Arcade Plaza
1321 Second Avenue, M/S 627
Seattle, Washington 98101

Chief, Personnel Office
Cleveland Branch Office
Region V
Department of Health, Education, and Welfare
14600 Detroit Avenue, Room 500
Cleveland, Ohio 44107

Other Servicing Personnel Offices:

Personnel Officer
U. S. Public Health Service Hospital
Personnel Section
Department of Health, Education, and Welfare
Carville, Louisiana 70721

Personnel Officer
U. S. Public Health Service Hospital
Personnel Section
Department of Health, Education, and Welfare
4400 Ursuline
Galveston, Texas 77550

Personnel Officer
U. S. Public Health Service Hospital
Personnel Section
Department of Health, Education, and Welfare

1131 14th Avenue South
Seattle, Washington 98114

Personnel Officer
U. S. Public Health Service Hospital
Office of Personnel
Department of Health, Education, and Welfare
Bay and Vanderbilt Streets
Staten Island, New York 10304

Personnel Officer
U. S. Public Health Service Hospital
Personnel Section
Department of Health, Education, and Welfare
15th Avenue and Lake Street
San Francisco, California 94118

Personnel Officer
U. S. Public Health Service Hospital
Personnel Section
Department of Health, Education, and Welfare
77 Warren Street
Boston, Massachusetts 02135

Personnel Officer
U. S. Public Health Service Hospital
Personnel Section
Department of Health, Education, and Welfare
210 State Street
New Orleans, Louisiana 70118

Personnel Officer
U. S. Public Health Service Hospital
Personnel Section
Department of Health, Education, and Welfare
6500 Hampton Boulevard
Larchmont
Norfolk, Virginia 23508

Personnel Officer
U.S. Public Health Service Hospital
Personnel Management Branch
Department of Health, Education, and Welfare
3100 Wyman Park Drive
Baltimore, Maryland 21211

Personnel Officer
Indian Health Service
Personnel Management Branch
Department of Health, Education, and Welfare
P.O. Box 2143
Billings, Montana 59101

Personnel Officer
U. S. Public Health Service Hospital
Personnel Section
Department of Health, Education, and Welfare
4005 Federal Office Building
500 Gold Avenue, S. W.
Albuquerque, New Mexico 87101

Personnel Officer
Indian Health Service
Personnel Management Branch
Department of Health, Education, and Welfare
405 Citizens Building
115 4th Avenue, S. E.
Aberdeen, South Dakota 57401

Personnel Officer
Indian Health Service
Personnel Management Branch
Department of Health, Education, and Welfare
801 East Indian School Road
Phoenix, Arizona 85014

Personnel Officer
Indian Health Service
Personnel Branch
Department of Health, Education, and Welfare
388 Old Post Office and Courthouse
Oklahoma City, Oklahoma 73102

Personnel Officer
Alaska Area Office
Indian Health Service
Department of Health, Education, and Welfare
P. O. Box 7-741
Anchorage, Alaska 99501

Personnel Officer
Indian Health Area Office
Office of Personnel
Department of Health, Education, and Welfare
Room 200
921 S. W. Washington Street
Portland, Oregon 97205

Personnel Officer
Indian Health Service
Office of Personnel
Department of Health, Education, and Welfare
P. O. Box G
Window Rock, Arizona 86515

Director
Office of Human Resources, OMA
Social Security Administration
Department of Health, Education, and Welfare
Room 734,Altmeyer Bldg.
6401 Security Boulevard
Baltimore, Maryland 21235

Personnel Officer
Bureau of Hearings and Appeals
Social Security Administration
Department of Health, Education, and Welfare
3833 N. Fairfax Drive
Arlington, Virginia 22203

Chief, Personnel Branch
Mid-Atlantic Program Service Center
Social Security Administration
Department of Health, Education, and Welfare
P. O. Box 12837
Philadelphia, Pennsylvania 19108

Chief, Personnel Branch
Northeastern Program Service Center
Social Security Administration
Department of Health, Education, and Welfare
96-05 Horace Harding Expressway
Flushing, New York 11368

Chief, Personnel Branch
Southeastern Program Service Center
Social Security Administration
Department of Health, Education, and Welfare
2001 12th Avenue, North
Birmingham, Alabama 35285

Chief, Personnel Branch
Western Program Service Center
Social Security Administration
Department of Health, Education, and Welfare
P.O. Box 2000
Richmond, California 94802

Chief, Personnel Branch
Great Lakes Program Service Center
Social Security Administration
Department of Health, Education, and Welfare
165 North Canal Street
Chicago, Illinois 60606

Chief, Personnel Branch
Mid-America Program Service Center
Social Security Administration
Department of Health, Education, and Welfare
P.O. Box 15186
Kansas City, Missouri 64106

Personnel Officer
Albuquerque Data Operations Center
Social Security Administration
Department of Health , Education, and Welfare
P. O. Box 4429, Station 'A'
Albuquerque, New Mexico 87106

Personnel Officer
Salinas Data Operations Center
Social Security Administration
Department of Health, Education and Welfare
100 East Alvin Drive
Salinas, California 93906

Personnel Director
Personnel Management Office
Center for Disease Control
Department of Health, Education, and Welfare
Building 1, Room 153A
1600 Clifton Road, N. E.
Atlanta, Georgia 30333

Personnel Officer
Addiction Research Center
National Institute of Drug Abuse, ADAMHA
Department of Health, Education, and Welfare
P. O. Box 12390
Lexington, Kentucky 40511

Personnel Officer
National Institute for Occupational Safety and Health
Department of Health, Education, and Welfare
Room 540
U. S. Post Office and Courthouse
5th and Walnut Street
Cincinnati, Ohio 45202

Personnel Officer
National Institute of Environmental Sciences
Department of Health, Education, and Welfare
P. O. Box 12233
Research Triangle Park, North Carolina 27709

09-90-0007

System name: Complaints and Inquiries Records - Miscellaneous. HEW/OS/ASPER/PT.

Security classification: None.

System location: Personnel offices shown in Applicants for Employment Records, HEW System 09900006, Appendix 1 and offices of operating officials in organizational units serviced by those personnel offices, in which employees are employed.

Categories of individuals covered by the system: Current Federal employees of the Department.

Categories of records in the system: This system consists of records relating to an individual's employment status or conduct while employed by the Department. Examples of these records include: correspondence from employees, Members of Congress, and members of the public alleging misconduct by an employee of the Department, miscellaneous complaints not covered by the Department's formal or informal grievance procedure, informal complaints handled by labor union officials, and miscellaneous debt correspondence received from creditors.

Authority for maintenance of the system: Executive Orders 11222, 10561 and 11491.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information in these records may be used: a) In accordance with Appendix B Departmental Regulations (45 CFR Part 5b) Items 01,3,4,5,6,7,8,9 b) by the Civil Service Commission in carrying out its functions; c) to respond to Members of Congress and members of the public with regard to complaints or inquiries presented by them; d) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

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

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

Storage: Filed in folders and index cards.

Retrievability: Records are filed by name. Records are used to take action on and respond to a complaint about a HEW employee; to produce summary descriptive statistics and analytical studies in support of the functions for which the records are collected and maintained and for related personnel management functions or pay studies; and for other purposes compatible with the intent for which the records system was created.

Safeguards: Access to and use of these records are limited to those persons whose official duties require such access.

Retention and disposal: Information in this system of records is disposed of 6 months after transfer or separation of employee.

System manager(s) and address: Personnel Officers shown in Appendix 1 to Applicants for Employment Records, HEW System 09900006, who service organizational units in which individuals are employed.

Notification procedure: Operating officials in organizational unit in which employee is employed or personnel offices shown as systems managers in Appendix 1 Applicants for Employment Records, HEW System 09900006,. Individuals should provide name, organization in which employed, and date of birth.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information in this system of records is obtained: 1) directly from the individual, or 2) derived from information supplied by the individual, or 3) from information supplied by members of the public, other employees, Members of Congress, Department management officials, or 4) from police and court records relevant to the complaint about the employee.

09-90-0008

System name: Conflict of Interest Records System. HEW/OS/ASPER/PT.

Security classification: None.

System location: Personnel Offices of the Department (See Applicants for Employment Records, HEW System 09900006, Appendix 1) or levels of approving officials to be identified by those Personnel Offices.

Categories of individuals covered by the system: Incumbents of Department positions the duties of which are of such a nature that incumbent's outside activities or financial interests may come in conflict with the incumbent's official duties.

Categories of records in the system: The Conflict of Interest Records System consists of a variety of records relating to an employee's financial interest, conduct and outside activities. In addition to the name of the employee, SSN, position title, grade, salary, pay plan, and employing organization, the system includes information about outside employment, financial interests, outside compensation and related information.

Authority for maintenance of the system: Executive Order 11222.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information in this system of records may be used: a) by the Civil Service Commission in carrying out its functions; b) In accordance with Appendix B of the Departmental regulations (45 CFR Part 5b), Item 1,4,5,6,9; c)

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

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

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

Storage: Conflict of Interest Records are maintained in file folders.

Retrievability: Records are retrievable by name. They are used for the purpose of determining whether an employee's financial interest, conduct or outside activities are in conflict with the employee's duties as a Federal official. They also may be used for production of summary descriptive statistics and analytical studies in support of the functions for which the records are collected and maintained and for other purposes compatible with the intent for which the records system was created.

Safeguards: These records are treated as controlled for Official Use Only and made available only to persons specifically authorized to receive them.

Retention and disposal: Information in this records system is disposed of 2 years after the employee discontinues the activity for which approval is required or two years after the employee leaves the Department, whichever is earlier.

System manager(s) and address: Personnel Offices of the Department shown in Appendix 1 to Applicants for Employment Records, HEW System 09900006.

Notification procedure: For incumbents who are in position under the Executive Schedule; Office of the Secretary Staff Office Heads; or Principal Regional Officials, contact:

Deputy Assistant Secretary for Personnel and Training
Office of Personnel and Training
Department of Health, Education, and Welfare
330 Independence Avenue, S. W.
Washington, D. C. 20201

For incumbents of positions in the Food and Drug Administration, contact:
Director, Policy Management Staff, HFA-20
Food and Drug Administration
5600 Fishers Lane
Rockville, Maryland 20857

For incumbents of other positions included in this records system, contact the Personnel Office shown in Appendix 1 to Applicants for Employment Records, HEW System 09900006, which services the organizational units in which the individual is employed. The individual should indicate name, position title, grade and series, and organization in which located.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information in this system of records is: 1) supplied directly by the individual, or 2) derived from information supplied by the individual, or 3) supplied by Department officials or other persons such as trustee, attorney, accountant, relative.

09-90-0009

System name: Discrimination Complaints Records System HEW/OS/ASPER/PT.

Security classification: None.

System location:

Office of Equal Employment Opportunity, HEW
330 Independence Avenue, S. W.
Washington, D. C. 20201

Offices of designated EEO Officers in Principal Operating Components, Office of the Secretary, Health Agencies, Education Agencies and Regional Offices. See Appendix 1 for exact locations.

Categories of individuals covered by the system: Individuals or organizations which have consulted an EEO Counselor regarding discrimination on the basis of race, color, religion, sex, national origin or age because of a determination or decision made by a Department official or which have filed a third-party allegation of discrimination.

Categories of records in the system: This system of records contains information or documents concerning pre-complaint processing and third-party allegations of discrimination. The records consist of counselors' reports, the initial allegations, letters or notices to the individual or organization, materials placed into the record to support or refute the decision or determination, statements of witnesses, investigative reports, instructions about action to be taken to comply with decisions, and related correspondence, opinions and recommendations.

Authority for maintenance of the system: Executive Order 11478, 42 USC 2000e and 29 USC 633a.

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 refer to CSC in connection with an appeal or review;
c. In accordance with Appendix B Departmental Regulations (45 CFR Part 5b) Items 01,3,4,5,6,7,8,9.
d. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
e. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: These records are maintained in file folders, binders, and index cards.

Retrievability: These records are indexed by the names of the individuals or organizations on whom they are maintained. They may be used: to adjudicate an appeal, complaint, or grievance; to provide a basis for a corrective action related to the discrimination situation; as a data source for management information for production of summary descriptive statistics and analytical studies in support of the function for which the records are collected and maintained, or for related personnel management functions or manpower studies; and to locate specific individuals for personnel research or other personnel management functions.

Safeguards: Access to and use of these records are limited to those persons whose official duties require such access.

Retention and disposal: The records on third-party allegations of discrimination are maintained up to four years after final disposition, after which time, they will be destroyed in accordance with CSC guidelines.

System manager(s) and address: See Appendix 1 for General Coordinator and appropriate Immediate System Manager.

Notification procedure: Individuals and organizations which consulted an EEO counselor or filed a third-party allegation of discrimination are aware of that fact. They may write the appropriate immediate system manager indicated above, or the general coordinator if the immediate system manager is unknown, regarding the existence of such records pertaining to them. The inquirers, as appropriate, should provide their name, date of birth, agency in which employed or agency in which the situation arose if different from employing agency, the approximate date, and the kind of action taken, when making inquiries about records.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories:

a. Individual to whom the record pertains
b. Department or other officials
c. Statements from employees or other witnesses
d. Official documents relating to the counseling or third-party allegation
e. Correspondence from specific organizations or persons.

Appendix 1

List of Locations and System Managers for EEO Matters

Department of Health Education and Welfare (General Coordinator)

Director, Equal Employment Opportunity Staff
Room 4766
330 Independence Avenue, S.W.
Washington, D.C. 20201

Immediate Locations and System Managers

Office of the Secretary, Washington
EEO Officer, OS
Room 2038
330 C Street, S.W.
Washington, D.C. 20201

Regional Offices of the Secretary

REGION I

EEO Officer
Room 1500
JFK Federal Building
Boston, Massachusetts 02203

REGION II

EEO Officer
Room 3838-D
26 Federal Plaza
New York, New York 10007

REGION III

EEO Officer
Room 9200
3535 Market Street
Philadelphia, Pennsylvania 19101

REGION IV

EEO Officer
Room 404
50 Seventh Street, N.E.
Atlanta, Georgia 30323

REGION V

EEO Officer
35th Floor
300 S. Wacker Drive
Chicago, Illinois 60606

REGION VI

EEO Officer
Room 904
1114 Commerce Street
Dallas, Texas 75202

REGION VII

EEO Officer
Room 616D
601 East 12th Street
Kansas City, Missouri 64106

REGION VIII

EEO Officer
Room 13001, Federal Office Bldg.
1961 Stout Street
Denver, Colorado 80294

REGION IX

EEO Officer
Room 413
50 Fulton Street
San Francisco, California 94102

REGION X

EEO Officer
Room 6027, Arcade Bldg., MS 629
1322 Second Avenue
Seattle, Washington 98101

Principal Operating Components and Agencies

Social Security Administration

EEO Officer
Room 739, Administration Bldg.
6401 Security Boulevard
Baltimore, Maryland 21235

Health Care Financing Administration

EEO Officer
Room 2213
330 C Street, S.W.
Washington, D.C. 20201

Office of Education

EEO Officer
Room 2117
400 Maryland Avenue, S.W.
Washington, D.C. 20202

National Institute of Education

EEO Officer
Room 639
1200 19th Street, N.W.
Washington, D.C. 20208

Assistant Secretary for Health

EEO Officer
Room 18-07, Parklawn Bldg.
5600 Fishers Lane
Rockville, Maryland 20852

Health Resources Administration

EEO Officer
Room 10-22, Parklawn Bldg.
5600 Fishers Lane
Rockville, Maryland 20852

Health Services Administration

EEO Officer
Room 14-18, Parklawn Bldg.
5600 Fishers Lane
Rockville, Maryland 20852

Food and Drug Administration

EEO Officer
Room 16-B-07, Parklawn Bldg.
5600 Fishers Lane
Rockville, Maryland 20852

Alcohol, Drug Abuse & Mental Health Administration

EEO Officer
Room 17-C-20, Parklawn Bldg.
5600 Fishers Lane
Rockville, Maryland 20208

National Institutes of Health

EEO Officer
Room 2-B-40, Bldg. 31
NIH
Bethesda, Maryland 20014

Center for Disease Control

EEO Officer
Room 2405, Bldg. 1
1600 Clifton Road, N.E.
Atlanta, Georgia 30333

Office of Human Development
EEO Officer
Room 330E, South Portal Building
200 Independence Ave., S.W.
Washington, D.C. 20201

09-90-0010

System name: Employee Alcoholism, Drug Abuse and Emotional Problem Counselling and Referral Records. HEW/OS/ASPER/PT.

Security classification: None.

System location: Personnel offices shown in Applicants for Employment Records, HEW System 09900006, Appendix 1 or designated offices performing counselling functions for employees in organizational units serviced by those personnel offices, including the Public Health Employee Assistance Program offices listed in Appendix 1 of this notice.

Categories of individuals covered by the system: Department employees who have been counselled for work adjustment, personal or emotional health problems and/or the abuse of alcohol or drugs.

Categories of records in the system: This system contains records of employees who have been referred but not counseled; records of employees who have been counseled for work adjustment, personal or emotional problems, and/or alcohol or drug abuse; and records of members of employees' families who have been counseled. Examples of information which may be found in this record system include the employee's name, SSN, date of birth, grade, job series, job title, leave record, service computation date, home address, home phone number, supervisor's name, name and address of the individual's personal physician, social history, educational background, and performance appraisals. Other documents which may also be found in the counselor's file are notes made by the counselor, copies of admonishments and reprimands received by the employee and a record of the supervisor's referral (if the employee was referred by the supervisor).

Authority for maintenance of the system: 44U.S.C. 3101, 42 U.S.C. 4561, 21 U.S.C. 1180, and 5 U.S.C. 7901.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: In unusual circumstances, it may be appropriate to disclose information from this system of records: 1) In accordance with Appendix B Departmental Regulations (45 CFR Part 5b), Items 9, 101,102; 2) To the Department of Justice or other appropriate Federal agencies in defending claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of components of the Department in connection with such individual. 3) In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected. Such disclosures will be restrictively made; in particular, disclosures of information pertaining to an individual with a history of alcohol or drug abuse will be limited in compliance with the restrictions of the Confidentiality of Alcohol and Drug Abuse Patient Records regulations, 42 CFR Part 2.

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

Storage: Employee records are maintained in file folders and on index cards.

Retrievability: Records are filed by name or by case number cross indexed with the employee's name. The records are used to document the nature of the individual's problem and progress and when necessary to refer individuals to appropriate community or private resources for treatment or rehabilitation. Anonymous information from these records may also be used to produce summary descriptive statistics and analytical studies in support of the functions for which the records are collected and maintained.

Safeguards: During the employment of the individual, records are maintained in confidential files separate from the Official Personnel Folder and are located in lockable metal containers or in secured rooms with access limited to those whose official duties require access. Disclosure of the contents of records which pertain to an individual's alcohol or drug abuse is restricted under the provisions of the Confidentiality of Alcohol and Drug Abuse Patient Records regulations, 42 CFR, Part 2, as authorized by 21 USC 1175 and 42 USC 4582, as amended by P.L. 93-282. To the extent possible, identical restrictions will be applied to the disclosure of the contents of records pertaining to individuals with other problems who are participating in the Public Health Employee Assistance Program.

Retention and disposal: Counselling records may be maintained for as long as the employee continues to visit the counsellor. The records are destroyed upon separation or transfer of the employee or when the employee has ceased contact with the counsellor for two years.

System manager(s) and address: For records of individuals participating in the Public Health Employee Assistance Program conducted by the Public Health Service: The responsible administrator shown in Appendix 1 below. For other individuals' records: The Personnel Officer servicing the installation in which counseling was provided, as shown in Applicants for Employment Records, HEW System 09900006, Appendix 1.

Notification procedure: Inquiries should be addressed to the system manager at the office where counseling was provided. Individual should provide name, grade, organization in which employed, date of birth, and location and approximate date of counseling. When applicable, the special procedures for access to medical records will be followed. An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.). When the records pertain to an individual's alcohol or drug use, the procedures in 42 CFR 2.40 will also be followed.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents

being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information in this system of records is: 1) supplied directly by the individual, or 2) supplied by a member of the individual's family, or 3) derived from information supplied by the individual, or 4) supplied by sources to whom the employee has been referred for assistance, or 5) supplied by Department officials, or 6) supplied by program counselors.

Systems exempted from certain provisions of the act: None.

Appendix 1 Officials of Public Health Employee Assistance Program (Public Health Service)

Administrator
ADAMHA Employee Assistance Program
Parklawn Building
5600 Fishers Lane
Rockville, Maryland 20852

Administrator
Public Health Employee Assistance Program
Personnel Management Office
Center for Disease Control
Atlanta, Georgia 30333

Administrator
Public Health Employee Assistance Program
Food and Drug Administration
Parklawn Building
5600 Fishers Lane
Rockville, Maryland 20852

Administrator
Health Resources Administration Employee Assistance Program
Parklawn Building
5600 Fishers Lane
Rockville, Maryland 20852

Administrator
Health Services Administration Employee ASsistance Program
Parklawn Building
5600 Fishers Lane
Rockville, Marylane 20852

Administrator
Public Health Employee Assistance Program
Office of Occupational Health
National Institutes of Health
Bethesda, Maryland 20010

Administrator
Public Health Employee Assistance Program
Office of the Assistant Secretary for Health
330 Independence Avenue, S.W.
Washington, D.C. 20201

09-90-0011

System name: Employee Appraisal Program Records. HEW/OS/ASPER/PT.

Security classification: None.

System location: Personnel offices shown in Applicants for Employment Records, HEW System 09900006, Appendix 1 and operating offices in organizational units serviced by those personnel offices.

Categories of individuals covered by the system: Current Federal employees of the Department.

Categories of records in the system: This system contains information which includes employee's name, SSN, employing organization, grade, title, series, and materials relating to the evaluations of employee's performance. For purposes of the annual performance rating required by law and for promotion consideration purposes.

Authority for maintenance of the system: 5 U.S.C. 4302, 5 U.S.C. 3301, 5 U.S.C. 3302, Executive Order 10577.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information in these records may be used:

1. By the Civil Service Commission in carrying out its functions.
2. In accordance with Items 1,3,4,5,6,7,8,9 of Appendix B of the Departmental Regulations (45 CFR, Part 5b).
3. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
4. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Records are maintained in file folders, on magnetic tape, and on punch cards.

Retrievability: Records are retrievable by name or social security number. They may be used as a basis for reduction-in-force, adverse actions, decisions regarding retention of employees during probationary period, recognition, promotions, reassignments and other personnel actions compatible with the purpose for which the record was collected.

Safeguards: Access to and use of these records are limited to those persons whose official duties require such access.

Retention and disposal: Employee appraisals are destroyed after two years or when replaced by a new appraisal, whichever is earlier, except that copies of unsatisfactory and outstanding performance ratings and any related papers are filed on the permanent side of the Official Personnel Folder.

System manager(s) and address: Personnel Officers shown in Applicants for Employment Records, HEW System 09900006, Appendix 1.

Notification procedure: Same as above. Employee should provide name, social security number and organization in which employed.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information in this system of records is provided by the individual, derived from information supplied by the individual or supplied by Department officials.

09-90-0012

System name: Executive Development Records System. HEW/OS/ASPER/PT.

Security classification: None.

System location: Personnel offices shown in Applicants for Employment Records, HEW System 09900006, Appendix 1.

Categories of individuals covered by the system: All supergrade employees (GS-16-18) and equivalents, incumbents of managerial positions and employees in grade GS-13-15 designated as high potential employees.

Categories of records in the system: The Executive Development Records System consists of a variety of records relating to an employee's participation in the Executive Development Program. In addition to the employee's name, the system contains the em-

ployee's title, grade and salary, Social Security Account Number, organization in which employed, date of entry into the Executive Development Program, training needs while participating in the program, individual's development plan, basis for participation in the Executive Development Program.

Authority for maintenance of the system: 5 U.S.C. 4101 et. seq.

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

a. In accordance with Appendix B Departmental Regulations (45 CFR Part 5b) Items 01,3,4,5,6,7,8,9.
b. By the Civil Service Commission in the performance of its functions.
c. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
d. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Information in this system of records is maintained in file folders, magnetic tape, punch cards, and forms.

Retrievability: Records are indexed by name and Social Security Account Number. Records are used by operating officials in carrying out their personnel management responsibilities. They may be used by those officials in connection with promotions, transfer or reassignment of the individual and as base for preparing management, budgetary or statistical reports to support organizational planning or manpower utilization studies.

Safeguards: Access to and use of these records are limited to those persons whose official duties require such access. Personnel screening is employed to prevent unauthorized disclosure.

Retention and disposal: Information is retained in the master file for as long as the individual is participating in the program. Upon completing the program, the individual's record is maintained in an inactive file for 5 years.

System manager(s) and address: Heads of personnel offices which service the organizational unit in which the individual is employed. See Applicants for Employment Records, HEW System 09900006, Appendix 1.

Notification procedure: Same as Above. Individuals should include their name, grade, title, and organization when contacting the system manager.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information in this system of records is: 1) supplied directly by the individual, or 2) derived from information supplied by the individual, or 3) supplied by Department officials.

09-90-0013

System name: Federal Employees Occupational Health Program Records. HEW/OS/ASPER/PT.

Security classification: None.

System location: Personnel offices shown in Applicants for Employment Records, HEW System 09900006, Appendix 1 and designated offices performing occupational health services for employees in organizations serviced by those personnel offices.

Categories of individuals covered by the system: Current Federal employees of the Department.

Categories of records in the system: This system consists of a variety of records relating to an employee's participation in the Federal Occupational Health Program at units other than those operated by the Division of Federal Employee Health, Public Health Service. Examples of information which may be included in this system are the employee's name, SSN, date of birth, weight, height, medical history, blood type, nature of injury or complaint, type of treatment/medication received, examination findings, and laboratory results.

Authority for maintenance of the system: 5 U.S.C. 7901 et. seq., P. L. 79-658.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information in this system of records may be used:

1. By authorized medical personnel in connection with the performance of their official duties.
2. By the Civil Service Commission in connection with the performance of its functions.
3. By the Department of Labor in connection with a claim filed by an employee for compensation for a job-related injury or disease.
4. By private contractors engaged in providing medical services under Federal contract.
5. In accordance with Items 1,3,4,5,6,7,8,9 of the Departmental Regulations (45 CFR part 5b), Appendix B.
6. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
7. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Stored in file folders, punch cards and data tape.

Retrievability: Records are retrievable by name, date of birth, and SSN. They are used to document an employee's visit to a health unit and contain information such as a summary of the nature of a complaint, a record of the employee's participation in a voluntary screening program, a record of an employee's participation in a voluntary blood donor program, and a record of any treatment administered by the health unit. Information from this system may be used by Department officials in connection with fitness for duty examinations and for preparing statistical or summary reports about the employee participation in the Federal Occupational Health Program.

Safeguards: During the employment of the individual, medical records are maintained in files separate from the Official Personnel Folder and are located in lockable metal containers or in secured rooms with access limited to those whose official duties require access.

Retention and disposal: A medical record is maintained for as long as employed. If the medical record is deemed to be of long term value, it is combined with the employee's Official Personnel Folder upon separation of the employee and forwarded to the National Personnel Records Center, St. Louis, Missouri. Other medical records of no historic value or if of no value in documenting employee health activities are destroyed upon separation of the employee.

System manager(s) and address: Personnel Officers shown in Applicants for Employment Records, HEW System 09900006, Appendix 1. who service organizational units in which the individual is employed.

Notification procedure: Same as above. The individual should include name, SSN, title and organization. An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information in this system of records is: 1) supplied directly by the individual, or 2) derived from information supplied by the individual, or 3) supplied by the medical officer or nurse providing treatment or medication, or 4) supplied by the individual's private physician.

09-90-0014

System name: Grievances Filed Under the Informal Grievance Procedures. HEW/OS/ASPER/PT.

Security classification: None.

System location: Personnel offices, or offices of the immediate supervisors and the first officials within the Department excluding the immediate supervisor, with line authority to decide on the matter grieved. Such offices are located within the organizational units serviced by personnel offices shown in Applicants For Employment Records, HEW System 09900006, Appendix 1.

Categories of individuals covered by the system: Department employees individually or as a group who have requested personal relief in a matter of concern or dissatisfaction which is subject to the control of Department management.

Categories of records in the system: Information or documents relating to the grievance and personal relief sought; documented materials used in consideration of the grievance, and correspondence related to disposition of the grievance.

Authority for maintenance of the system: 5 U.S.C. 1302, 3301, 3302; Executive Order 10577.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information in this system of records may be used:

a. In accordance with Appendix B Departmental Regulations (45 CFR Part 5b) Items 01,3,4,5,6,7,8,9.
b. By the Civil Service Commission in carrying out its functions.
c. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
d. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: The records are maintained in file folders, binders and index cards.

Retrievability: Records are indexed by name of individual filing the grievance. Records are used to consider and resolve informal grievances and to provide background data to further consideration of grievances if later pursued through formal grievance procedures.

Safeguards: Access to and use of these records are limited to those persons whose official duties require such access. Personnel screening is employed to prevent unauthorized disclosure.

Retention and disposal: Records are maintained for 3 years after the file is closed, at which time they are destroyed.

System manager(s) and address: Heads of personnel offices which service organizational units in which employees who submit informal grievances are located. See Applicants for Employment Records, HEW System 09900006, Appendix 1.

Notification procedure: Individuals who have filed grievances are aware of that fact and have been provided information in writing concerning the disposition of the grievance. They may contact the official who signed the written notice, or the System Manager indicated above. They should provide their name, organization in which employed and date of birth and approximate date of the filing of the informal grievance.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information in this system of records is: 1) supplied directly by the individual, or 2) derived from information supplied by the individual, or 3) supplied by Department officials.

09-90-0015

System name: Grievance Records Filed Under Procedures Established by Labor-Management Negotiations. HEW/OS/ASPER/PT.

Security classification: None.

System location: Personnel offices shown in Applicants for Employment Records, HEW System 09900006, Appendix 1 and offices of operating officials in organizational units serviced by those personnel offices.

Categories of individuals covered by the system: Current Federal employees of the Department covered by a collective bargaining agreement.

Categories of records in the system: This system of records consists of a variety of records relating to an employee's grievance filed under procedures established by labor-management negotiations. Examples of information which may be included in this system of records are the employee's name, SSN, grade, job title, testimony of witnesses, material placed into the record to support the decision, the arbitrator's decision, the arbitrator's report, and a record of an appeal to the Federal Labor Relations Council.

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 in this system may be released to:

1. The Civil Service Commission in carrying out its functions.
2. In accordance with Departmental Regulations, (45 CFR Part 5b), Appendix B. See Items 01,3,4,5,6,7,8,9.
3. The Department of Labor.
4. The Federal Labor Relations Council.
5. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
6. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Records are maintained in file folders.

Retrievability: Records are retrievable by name. They are used to make a determination on and to document a decision made on a grievance filed by an employee under the negotiated grievance procedures. Information from this system may be used by Department officials for preparing statistical, summary or management reports.

Safeguards: Records maintained by management are stored in secured rooms with access limited to those whose official duties require access.

Retention and disposal: As negotiated by the local parties to the contract.

System manager(s) and address: Personnel Officers shown in Applicants for Employment Records, HEW System 09900006, Appendix 1 who service the organizational unit in which the individual is employed.

Notification procedure: Same as above. Individuals should include their name, grade, title and organizational unit when contacting the system manager.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information in this system of records is: 1) supplied directly by the individual, or 2) derived from information supplied by the individual, or 3) supplied by testimony of witnesses, or 4) supplied by union officials, or 5) supplied by Department officials.

Systems exempted from certain provisions of the act: None.

09-90-0016

System name: HEW Motor Vehicle Operator Records. HEW/OS/ASPER/PT.

Security classification: None.

System location: Personnel offices of the Department shown in Applicants For Employment Records, HEW System 09900006, Appendix 1. Issuing Officers for Motor Vehicle Operator Identification Cards within the organizations serviced by the above personnel offices.

Categories of individuals covered by the system: All Department employees who are required to operate motor vehicles regularly or incidentally in carrying out their official duties.

Categories of records in the system: The HEW Motor Vehicle Operator Records system consists of a variety of records related to the issuance of a Government Motor Vehicle Operator's permit. In addition to the name of the employee, the system includes information about the employee's birthplace, SSN, employing organization, number of years driven, type of vehicles operated, current driver's license number, state issuing driver's license, date license expires, restrictions on state license, sex, date of birth, color of hair, color of eyes, weight, height, record of arrests, and record of accidents. These records also include expiration dates of Motor Vehicle Operator permit, any limitations imposed on its use and the results of the annual review of each driving record.

Authority for maintenance of the system: 40 U.S.C. 471.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information in this system of records may be used:

a. In accordance with Appendix B Departmental Regulations (45 CFR Part 5b) Items 01,3,4,5,6,7,8,9.
b. By the Civil Service Commission in carrying out its functions.
c. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
d. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Stored in Official Personnel Folder and in file folders and index cards.

Retrievability: Records are retrievable by name. Information is used as a basis for issuing a SF-46 'U. S. Government Motor Vehicle Operator's Identification Card' and evaluating its use. It may also be used for production of summary descriptive statistics and analytical studies in support of the functions for which the records are collected and maintained and for related personnel management functions.

Safeguards: Access to and use of these records are limited to personnel whose official duties require such access. Personnel screening is employed to prevent unauthorized disclosure.

Retention and disposal: A record is retained for as long as the employee has an active Federal Motor Vehicle Operator Permit, and for three years after the permit becomes inactive or the employee separates from the Department. that time the record is destroyed.

System manager(s) and address: Personnel Officers of the Department shown in Applicants for Employment Records, HEW System 09900006, Appendix 1.

Notification procedure: Issuing officers in organizational units in which employed or systems managers shown above. Individual should provide name and organization in which employed.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information contained in this system of records is obtained: 1) from information supplied by the individual, or 2) derived from information supplied by the individual, or 3) from information supplied by officials of the Department.

Systems exempted from certain provisions of the act: None.

09-90-0017

System name: Pay, Leave and Attendance Records. HEW/OS/ASPER/PT.

Security classification: None.

System location:

Division of Central Payroll and Reports Processing
Department of Health, Education, and Welfare
330 Independence Avenue, S. W.
Washington, D. C. 20201

Payroll Liaison Representatives. See Appendix 1. Timekeepers in organizational units serviced by Payroll Liaison Representatives shown in Appendix 1. Personnel offices shown in HEW System 09900006, Applicants for Employment Records, Appendix 1.

Categories of individuals covered by the system: All paid employees of the Department of Health, Education, and Welfare including PHS Commissioned Corps Personnel.

Categories of records in the system: This system consists of a variety of records relating to pay and leave determinations made about each employee of the Department of Health, Education, and Welfare. In addition to the name of the employee, the system includes information such as the employee's date of birth, social

security number, home address, grade or rank, employing organization, timekeeper number, salary, Civil Service Commission retirement fund contributions, pay plan, number of hours worked, annual and sick leave accrual rate and usage, annual and sick leave balance, FICA withholdings, Federal, state and city tax withholdings, Federal Employees Government Life Insurance withholdings, Federal Employees Health Benefits withholdings, garnishment documents, savings allotments, union and management association dues withholdings allotments, savings bonds allotments, and combined Federal Campaign allotments; for Commissioned Corps personnel, information such as the following is included: years of service, payroll number, base pay, incentive pay, hazardous pay, allowances and Servicemen's Group Life Insurance.

Authority for maintenance of the system: 5 U.S.C. 5501 et. seq., 5525 et. seq., 6301 et. seq.; 42 U.S.C. 201 et.seq.; and P.L. 90-83.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information in this system of records is used or may be used:

a. To prepare W-2 Forms to submit to the Internal Revenue Service and to disclose to state and local government agencies having taxing authority pertinent records relating to employees, including name, home address, social security number (in accordance with Section 7 of Public Law 93-579), earned income, and amount of taxes withheld.
b. In accordance with Appendix B Departmental Regulations (45 CFR Part 5b) Items 01,3,4,5,6,7,8,9.
c. By the Civil Service Commission in the performance of its functions.
d. By the Department of Labor to make compensation determination in connection with a claim filed by the employee for compensation on account of a job-connected injury or disease.
e. To respond to court orders for garnishment of an employee's pay for alimony or child support.
f. To respond to orders from IRS for garnishment of an employee's pay for Federal income tax purposes.
g. To the Department of Treasury for the purposes of preparing and issuing employee salary and compensation checks and U.S. Savings Bonds.
h. By state offices of unemployment compensation in connection with claims filed by former HEW employees for unemployment compensation.
i. When an individual to whom a record pertains dies, to disclose information in the individual's record to heirs, executors and legal representatives of beneficiaries.
j. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
k. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Magnetic tape, microfilm, punch cards and forms.

Retrievability: Records are maintained by pay period and are retrievable by name, SSN and Timekeeper number within each pay period. They are used to insure that each employee receives the proper pay and allowances; that proper deductions and authorized allotments are made from the employee's salary; that the employee is credited and charged with the proper amount of sick and annual leave. Records are also used to produce summary descriptive statistics and analytical studies in support of the functions for which the records are collected and maintained and for related personnel management functions or pay studies, and for other purposes compatible with the intent for which the records system was created.

Safeguards: Access to and use of these records are limited to personnel whose official duties require such access. Personnel screening is employed to prevent unauthorized disclosure.

Retention and disposal: A record (continuously updated) is maintained on the data disc for as long as employed. Source document microfilm records are kept 4 years then destroyed. Time card microfilm is kept 5 years then destroyed. Data file microfilm is kept 6 years then destroyed.

System manager(s) and address:

Director, Division of Central Payroll and Reports Processing
P. O. Box 1825
Washington, D. C. 20013

Notification procedure: Same as System Manager. Also may contact, as appropriate, Payroll Liaison Representatives in Appendix I or Personnel Officers shown in HEW System 09900006, Applicants for Employment Records, Appendix 1. Provide name, social security number, timekeeper number and pay period about which inquiring.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information in this system of records is 1) supplied directly by the individual, or 2) derived from information supplied by the individual, or 3) supplied by timekeepers and other Department officials.

Systems exempted from certain provisions of the act: None.

Appendix 1

OS

Payroll Liaison Officer
Office of the Secretary
Room 4317 - HEW North Bldg.
330 Independence Avenue, S. W.
Washington, D. C. 20201

OE

Payroll Liaison Officer
Office of Education
Room 3092 - E, FOB 06
400 Maryland Ave., S. W.
Washington, D. C. 20202

NIE

Payroll Liaison Officer
National Institute of Education
Room 711 - Marsh Bldg.
1832 M Street, N. W.
Washington, D. C. 20208

HCFA

Payroll Liaison Officer
Health Care Financing Adminsitration
Room 1219
330 C Street, S. W.
Washington, D. C. 20201

Social Security Administration Headquarters

Payroll Liaison Officer
SSA Headquarters
Room 1M10, Annex Bldg.
6401 Security Blvd.
Baltimore, Maryland 21235

SSA, ORS

Payroll Liaison Officer
Universal Bldg., Room 930
1875 Connecticut Ave., N. W.
Washington, D. C. 20009

Social Security Administration Program Service Centers

MID ATLANTIC

Payroll Liaison Officer
SSA, HEW Program Service Center
P. O. Box 12807
Philadelphia, Pennsylvania 19108

NORTH EASTERN

Payroll Liaison Officer
SSA Program Service Center
9605 Horace Harding Expressway
Flushing, New York 11368

SOUTH EASTERN

Payroll Liaison Officer
Birmingham Program Service Center
P. O. Box 1031
Birmingham, Alabama 35201

GREAT LAKES

Payroll Liaison Officer
Chicago Program Service Center
165 North Canal Street
Chicago, Illinios 60606

MID-AMERICAN

Payroll Liaison Officer
SSA Program Service Center
601 East 12th Street - Room 1459
Kansas City, Missouri 64106

WESTERN

Payroll Liaison Officer
San Francisco Program Center
P. O. Box 2000
Richmond, California 94802

Boston, SSA

Payroll Liaison Officer, SSA
John F. Kennedy Federal Bldg.
Government Center
Boston, Massachusetts 02203

New York, SSA

Payroll Liaison Officer, SSA
26 Federal Plaza
Room 737
New York, New York 10007

Philadelphia, SSA

Payroll Liaison Officer, SSA
P. O. Box 8788
Philadelphia, Pennsylvania 19101

Atlanta, SSA

Payroll Liaison Officer, SSA
Room 226, Peachtree-Seventh Bldg.
50 7th Street, N. W.
Atlanta, Georgia 30323

Cleveland, SSA

Payroll Liaison Officer, SSA
Room 100
14725 Detroit Ave.
Cleveland, Ohio 44107

Chicago, SSA

Payroll Liaison Officer, SSA
300 South Wacker Drive
Chicago, Illinois 60606

Kansas City, SSA

Payroll Liaison Officer, SSA
601 E. 12th Street
Kansas City, Missouri 64106

Dallas, SSA

Payroll Liaison Officer, SSA
Room 624
1114 Commerce Street
Dallas, Texas 75202

Denver, SSA

Payroll Liaison Officer, SSA
Federal Office Bldg.
19th and Stout Streets
Denver, Colorado 80202

Seattle, SSA

Payroll Liaison Officer
HEW Regional Personnel Office
Arcade Plaza Bldg. 1321 Second Avenue
Seattle, Washington, 98101

San Francisco, SSA

Payroll Liaison Officer
HEW Personnel
50 Fulton Street
San Francisco, California 94102

BHA

Payroll Liaison Officer
Room 335 - Webb Bldg.
801 N. Randolph Street
Arlington, Virginia 22203

Regional Offices

Boston

Payroll Liaison Officer
HEW Personnel
Room 1503
JFK Federal Bldg
Boston, Massachusetts 02203

New York

Payroll Liaison Officer
Room 937
26 Federal Plaza
New York, New York 10007

Philadelphia

Payroll Liaison Officer
Financial Management
P. O. Box 13716
Philadelphia, Pennsylvania 19101

Atlanta

Payroll Liaison Officer
Room 404
50 7th Street, N. E.
Atlanta, Georgia 30323

Chicago

Payroll Liaison Officer
HEW Personnel
300 S. Wacker Drive
Chicago, Illinois 60606

Dallas

Payroll Liaison Officer
Region VI Personnel Office
HEW, Main Tower Building
1200 Main Street
Dallas, Texas 75202

Kansas

Payroll Liaison Officer
Office of Regional Director, HEW
601 East 12th Street
Kansas City, Missouri 64106

Denver

Payroll Liaison Officer
Room 9019
Federal Office Bldg.
19th and Stout Street
Denver, Colorado 80202

San Francisco

Payroll Liaison Officer
HEW Personnel
50 Fulton Street
San Francisco, California 94102

Seattle

Payroll Liaison Officer
Regional Personnel Office
Arcade Plaza Bldg., MS 627 1321 Second Avenue
Seattle, Washington 98101

Cleveland

Payroll Liaison Officer
Room 500
14600 Detroit Ave.
Cleveland, Ohio 44107

Data Operations Center, SSA

Payroll Liaison Officer
Data Operations Center
P. O. Box 2247
Albuquerque, New Mexico 87103

U. S. Public Health Service Hospitals

San Francisco, PHS

Payroll Liaison Officer
USPHS Hospital
15th and Lake Street
San Francisco, California 94118

Seattle, PHS

Payroll Liaison Officer
USPHS Hospital
P. O. Box 3145
Seattle, Washington 98114

Staten Island, PHS

Payroll Liaison Officer
USPHS Hospital
Bay and Vanderbilt Street
Staten Island, New York 10304

Saint Elizabeths, PHS

Payroll Liaison Officer
St. Elizabeths Hospital
Room 120, E Bldg.
2700 Martin Luther King Ave., S.E.
Washington, D. C. 20032

Baltimore, PHS

Payroll Liaison Officer
USPHS Hospital
3100 Wyman Park Drive
Baltimore, Maryland 21211

Boston, PHS

Payroll Liaison Officer
USPHS Hospital
77 Warren Street
Boston, Massachusetts 02135

Carville, PHS

Payroll Liaison Officer
USPHS Hospital
Carville, Louisiana 70721

Galveston, PHS

Payroll Liaison Officer
USPHS Hospital
4400 Avenue N.
Galveston, Texas 77550

New Orleans, PHS

Payroll Liaison Officer
USPHS Hospital
210 State Street
New Orleans, Louisiana 70118

Norfolk, PHS

Payroll Liaison Officer
USPHS Hospital
6500 Hampton Blvd.
Norfolk, Virginia 23508

Indian Health Service

Aberdeen

Payroll Liaison Officer
PHS Indian Health Service
Room 300 - Citizens Bldg.
Aberdeen, South Dakota 57401

Albuquerque

Payroll Liaison Officer
Albuquerque Indian Health Service
Federal Office Bldg. and U. S. Courthouse
Room 4006
500 Gold Avenue
Albuquerque, New Mexico 87101

Anchorage

Payroll Liaison Officer
Alaska Native Medical Center
P. O. Box 7-741
Anchorage, Alaska 99501

Billings

Payroll Liaison Officer
Indian Health Area Office
P. O. Box 2134
Billings, Montana 59103

Oklahoma

Payroll Liaison Officer
Oklahoma City Area
Indian Health Service
388 Old Post Office and Courthouse Bldg.
Oklahoma City, Oklahoma 73102

Saratoga

Payroll Liaison Officer
Indian Health Service
1970 Main Street
Saratoga, Florida 33577

Phoenix

Payroll Liaison Officer
Phoenix Area Indian Health
801 E. Indian Medical Center
Phoenix, Arizona 85021

Phoenix

Payroll Liaison Officer
Phoenix Indian Medical Center
4212 No. 16th Street
Phoenix, Arizona 85016

Tucson

Payroll Liaison Officer
IHS - HPSC
P. O. Box 11340
Tucson, Arizona 85734

Public Health Service

CDC

Payroll Liaison Officer
Center for Disease Control
Financial Management
1600 Clifton Road, N. E.
Atlanta, GEorgia 30330

NIH

Payroll Liaison Officer
National Institutes of Health
Room B1B, Bldg. 11
9000 Rockville Pike
Bethesda, Maryland 20014

FDA

Payroll Liaison Officer
FDA Payroll Liaison Section
Accounting Branch
CA-130, Room 11057, Parklawn Bldg.
5600 Fishers Lane
Rockville, Maryland 20852

NIOSH (CDC)

Payroll Liaison Officer
HEW, CDC, NIOSH
Financial Mgmt. Branch
Parklawn Bldg.
DANAC 3 - 32 F
5600 Fishers Lane
Rockville, Maryland 20852

NIH, NIEHS

Payroll Liaison Officer
National Institute of Environmental Health Sciences, NIH
P. O. Box 12233
Research Triangle Park
North Carolina 27709

HSA, HRA, ASH

Payroll Liaison Officer
PHS
Room 1649 - Parklawn Bldg.
5600 Fishers Lane
Rockville, Maryland 20852

ADAMHA

Payroll Liaison Officer
ADAMHA
Room 1399 - Parklawn Bldg.
5600 Fishers Lane
Rockville, Maryland 20852

HEW HSA FHPS

Payroll Liaison Officer
Administrative Asst.
6525 Belcrest Road
West Hyattsville, Maryland 20782

09-90-0018

System name: Personnel Records in Operating Offices. HEW/OS/ASPER/PT.

Security classification: None.

System location: Operating Offices of the Department at the organizational level of the individual's employment. Such offices are located within organizational components serviced by personnel offices shown in Applicants for Employment Records, HEW System 09900006, Appendix 1.

Categories of individuals covered by the system: Current employees of the Department.

Categories of records in the system: This system consists of a variety of records relating to personnel actions and determinations made about an individual while employed. These records may contain information about an individual relating to name; birth date; home address; telephone number; emergency addressee; social security number; veterans preference; tenure; work connected injuries; handicap code; employment history; qualifications background; past and present salaries, grades and position titles; training; awards and other recognition; counseling; performance appraisal; conduct; pay and leave; and data documenting reasons for personnel actions, decisions or recommendations made about an employee; and background data and documentation leading to an adverse action being taken against an employee.

Authority for maintenance of the system: 5 U.S.C. 1302, 2951, 4118, 4308, 4506, 7501, 7511, 7521 and Executive Order 10561.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information in these records may be used:

1. By an agency of the Federal Government having oversight or review with regard to Civil Service Commission activities.
2. In the event an appeal is made outside the Department, records which are relevant may be referred to the appropriate agency charged with rendering a decision on the appeal.
3. In accordance with Appendix B of the Departmental Regulations (45 CFR, Part 5b) Items 1,3,4,5,6,7,8,9.
4. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
5. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Records are maintained in file folders, magnetic tape, and index cards.

Retrievability: Records are indexed by any combination of name, birth date, social security number, or identification number. Records are used by operating officials in carrying out their personnel management responsibilities. They may be used in this connection in recommending or taking personnel actions such as are related to appointments, transfers, promotions, reassignments, adverse actions; as a base for employee development, training, recognition, reprimands, and disciplinary actions; for making decisions on employee complaints; and as a base for staffing and budgetary planning and control, organizational planning, and for manpower utilization purposes; and for preparing statistical or summary reports. They may also be used by appropriate officials in making decisions on grievances, appeals and adverse actions.

Safeguards: Access to and use of these records are limited to those persons whose official duties require such access.

Retention and disposal: Retained during the period of employment of the individual. Destroyed or transferred to the Official Personnel Folder, as appropriate, when an individual resigns, transfers or is separated from the Federal service.

System manager(s) and address: Personnel Officers of the Department. See Applicants for Employment Records, HEW System 09900006, Appendix 1.

Notification procedure: Immediate supervisors of individuals or the administrative offices of the organizational units in which employed. The system manager shown above may also provide further information concerning the existence of this system of records. Individuals should provide their name, social security number, and organization in which employed.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information in this system of records either comes from the individual to whom it applies, is derived from information supplied by the individual, or is provided by Department officials.

Systems exempted from certain provisions of the act: None.

09-90-0019

System name: Special Employment Programs. HEW/OS/ASPER/PT.

Security classification: None.

System location: Personnel Offices shown in Applicants for Employment Records, HEW System 09900006, Appendix 1 and operating offices in organizational units serviced by those personnel offices, in which employees are employed.

Categories of individuals covered by the system: Current Federal employees of the Department who are participating in special employment programs.

Categories of records in the system: This system consists of a variety of records relating to an employee's participation in special employment programs such as the Upward Mobility College, START, STRIDE, ACCESS, Worker Trainee Opportunity, Junior Fellows, Management Intern, Personnel Intern and the HEW Fellows Program. Examples of information which this records system may contain include the employee's name, SSN, program enrolled in, employing agency, grade, job title, job series, sex, date of birth, status, educational background, handicap code, application for employment, position description, assignment evaluations, Veterans preference, job counselling records, and letters of reference and recommendations.

Authority for maintenance of the system: 5 U.S.C. 1301, 3301, and 7151 et. seq., Executive Order 11813.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information in this system may be used:

1. By the Civil Service Commission in carrying out its functions.
2. In accordance with Items 1,3,4,5,6,7,8,9 of the Departmental Regulations, (45 CFR Part 5b), Appendix B.
3. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
4. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Information in this system of records is maintained in file folders, data tape and punch cards.

Retrievability: Records are retrievable by name and SSN. Records are used by personnel offices and operating officials to monitor the progress of the individual in the special program, for career planning, and for taking personnel actions.

Safeguards: Access and use of these records are limited to those persons whose official duties require such access.

Retention and disposal: Information in these records is retained for as long as the individual participates in a special employment program. Upon completing the program, the individual's record is maintained in an inactive file for 2 years, then destroyed.

System manager(s) and address: Personnel Officers shown in Applicants for Employment Records, HEW System 09900006, Appendix 1, who service organizational units in which the participant is employed.

Notification procedure: Same as above. Individuals should include their name, SSN, grade, title and organization when contacting the system manager.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information in this system of records is: 1) supplied directly by the individual, or 2) derived from information supplied by the individual, or 3) supplied by Department officials.

Systems exempted from certain provisions of the act: None.

09-90-0020

System name: Suitability for Employment Records. HEW/OS/ASPER/PT.

Security classification: None.

System location: Personnel Offices shown in Applicants for Employment Records, HEW System 09900006, Appendix 1.

Categories of individuals covered by the system: Federal employees of the Department, and applicants for employment.

Categories of records in the system: This system consists of a variety of records relating to an individual's suitability for employment in terms of character, reputation and fitness, including letters of reference, responses to pre-employment inquiries, National Agency Checks and Inquiries material received from the Civil Service Commission relating to non-sensitive positions, qualifications and character investigations, and other information which may relate to the suitability of the individual for the position.

Authority for maintenance of the system: 5 U.S.C. 3301, 3302, 7301,; Executive Order 10577; Executive Order 11222.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information in these records may be used:

a. By the Civil Service Commission in carrying out its functions.

b. In accordance with Appendix B, Departmental Regulations (45 CFR Part 5b) Items 01,3,4,5,6,8,9.
c. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
d. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Records are maintained in file folders.

Retrievability: Records are indexed by any combination of name, birth date, Social Security Number, or identification number. Information in these records is used by designated appointing and selecting authorities to determine an individual's suitability for employment by consideration of factors present in such records.

Safeguards: Records are maintained in confidential files and are located in lockable metal file cabinets or in metal file cabinets in secured rooms with access limited to those whose official duties require access.

Retention and disposal: NACI information is retained during the period of employment with the Department and upon transfer or separation of employee, is returned to the Civil Service Commission. Other records are retained during the period of employment or for two years whichever is earlier. After that time they are destroyed.

System manager(s) and address: Heads of personnel offices which service organizational units in which individual is employed or in which he/she applied for employment. See Applicants For Employment Records, HEW, System 09900006, Appendix 1.

Notification procedure: Same as above. Individuals should indicate name, Social Security Number, date of birth, and organization in which employed, or to which they applied for employment.

Record access procedures: Current Department employees or applicants should contact the appropriate system manager shown above. Former Department employees who are employed by the Federal Government who wish to gain access or contest the records maintained on them while employed by the Department should contact the appropriate official of their current employing agency in accordance with the appropriate records system notice of that agency. Former Department employees who have separated from Federal service should direct a request to:

National Personnel Records Center
General Services Administration
111 Winnebago Street
St. Louis, Missouri 63118

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information contained in the system is obtained from the categories of sources:

Applications and other personnel and security forms furnished by the individual.
Information furnished by other Federal agencies.
Information provided by sources such as employers, schools, references, former employers.

Systems exempted from certain provisions of the act: Individuals will be provided information from the above record system except when in accordance with the provisions of 5 U.S.C. 552a(k)(5); 1. disclosure of such information would reveal the identity of a source who furnished information to the Government under a express promise that the identity of the source would be held in confidence, or 2. if the information was obtained prior to the effective date of Section 3, P. L. 93-579, disclosure of such information would reveal the identity of a source who provided information under an implied promise that the identity of the source would be held in confidence. (45 CFR 5b.11)

09-90-0021

System name: Training Manpower Information System. HEW/OS/ASPER/PT.

Security classification: None.

System location:

Office of Personnel and Training
Department of Health, Education, and Welfare
330 Independence Avenue, S. W.
Washington, D. C. 20201
Personnel offices shown in Applicants for Employment Records, HEW System 09900006, Appendix 1.

Categories of individuals covered by the system: All employees who receive training in a course which was more than 8 hours in length and which was authorized under the authority of the Government Employees Training Act.

Categories of records in the system: The Training Management Information System consists of a variety of records relating to training received by an employee. In addition to the name of the employee, the system includes information about the employee's Social Security Account Number, position title, grade, salary, pay plan, series, tenure, years of continuous service, hours of prior non-government training, nature of training taken, cost of training and dates of training.

Authority for maintenance of the system: 5 U.S.C. 4101 et. seq.; Executive Order 11348.

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

a. In accordance with Appendix B Departmental Regulations (45 CFR Part 5b) Items 01,3,4,5,6,7,8,9.
b. By the Civil Service Commission in carrying out its functions.
c. To other Federal agencies or private organizations to authorize training.
d. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
e. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Data tape.

Retrievability: Records are indexed by any combination of name, birth date, SSN or transaction number. Information is used to maintain a history of training of the individual during his employment with the Department, as a basis for determining future training needs of the individual, for evaluating the Department's training program, for auditing and budgetary planning purposes and for related analytical and operational personnel management functions.

Safeguards: The information is available only to authorized personnel. Personnel screening is used to prevent unauthorized disclosure.

Retention and disposal: Retained in the data file until separation of employee from the Department. Training records are retained indefinitely in the Official Personnel Folder.

System manager(s) and address:

Deputy Assistant Secretary for Personnel and Training
Office of Personnel and Training
Department of Health, Education, and Welfare
330 Independence Avenue, S.W.
Washington, D. C. 20201

Notification procedure: Contact the Deputy Assistant Secretary for Personnel and Training or the personnel office shown in Applicants for Employment Records, HEW System 09900006, Appendix 1, which services the organizational unit in which the individual is employed. The individual should indicate name, position title, grade and series and organization in which located.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information in this system of record is: 1) supplied directly by the individual, or 2) derived from information supplied by the individual, or 3) supplied by Department or by source of training officials.

Systems exempted from certain provisions of the act: None.

09-90-0022

System name: Volunteer EEO Support Personnel Records. HEW/OS/ASPER/PT.

Security classification: None.

System location:

Office of Equal Employment Opportunity, HEW
330 Independence Avenue, S. W.
Washington, D. C. 20201
Offices of the designated EEO Officers in Principal Operating Components, Office of the Secretary, Health Agencies, Education Agencies and Regional Offices. See Discrimination Complaints Records System, HEW System 09900009, Appendix 01 for exact locations.

Categories of individuals covered by the system: Individuals who have volunteered or have been proposed for duty as EEO Counsellors and discrimination complaint investigators on a part-time basis.

Categories of records in the system: This system of records contains information or documents concerning personal characteristics of EEO counsellors and investigators. The records consist of the name and other identifying data, title, location, training received, information concerning qualifying background, case assignments, and evaluations of EEO counsellors and investigators serving on a part-time basis, and related information.

Authority for maintenance of the system: Executive Order 11478, P. L. 92-261, 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 provide resource to another Federal agency, in response to its request for loan of investigators or counsellors.
b. In accordance with Appendix B Departmental Regulations (45 CFR Part 5b), Items 01,3,4,5,6,7,8,9
c. By the Civil Service Commission in carrying out its functions.
d. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
e. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: These records are maintained in file folders, binders and index cards.

Retrievability: These records are indexed by the names of the individuals on whom they are maintained. They may be used: for identification, location and determination of availability of volunteer counsellors and investigators for assignment to counsel complainants and to investigate complaints; to respond to inquiries regarding availability of counsellor resources or determination regarding location and the jurisdictional propriety of an investigator resource; for determining training needs of EEO counsellors and investigators; to provide information for production of summary descriptive statistics and analytical studies in support of the function for which the records are collected and maintained, or for related personnel management functions or manpower studies; and to locate specific individuals for personnel research or other personnel management functions.

Safeguards: Access to and use of these records are limited to those persons whose official duties require access.

Retention and disposal: The records are maintained up to one year after volunteer has terminated his services, at which time they are destroyed.

System manager(s) and address: See Discrimination Complaints Records System, HEW System 09900009, Appendix 1 for General Coordinator and appropriate Immediate System Manager.

Notification procedure: Individuals who have volunteered or been proposed as counsellors or investigators are aware of that fact and the information contained in the record. They may, however, write the immediate system manager or coordinator indicated above regarding the existence of such records pertaining to them. The inquirers, as appropriate, should provide to the immediate system manager or coordinator, their name, agency in which they were proposed or served when making inquiries about records.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories:

a. Individuals to whom the record pertains
b. Department or other officials
c. Official documents relating to appointments and case assignments as counselors and investigators
d. Correspondence for specific persons or organizations
e. Formal reports submitted by the individual in the performance of official volunteer work.

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None.

09-90-0023

System name: Departmental Parking Control Policy. HEW/OS/ASMB/FE

Security classification: None.

System location:

Director, Office of Facilities Engineering and Property Management
Room 4193 North Building
HEW/Office of the Secretary
330 Independence Ave., S.W.
Washington, D.C. 20201
Offices of Manager for Parking Control at HEW facilities where HEW parking is provided.

Categories of individuals covered by the system: All HEW employees as well as any carpool member utilizing DHEW parking facilities.

Categories of records in the system: This system includes the following information on all persons applying for a parking permit: Name, office room number, office phone number, agency, home address, and automobile license number.

Authority for maintenance of the system: 63 Stat. 377;41 CFR 101-20.111

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

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

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

Storage: Records are stored in binders in file cabinets.

Retrievability: Records are filed alphabetically. The purpose of the Departmental Parking Policy is to provide standards for apportionment and assignment of parking spaces on Department-managed and Department-controlled property and on property assigned to the Department by GSA or any other Agency and to allocate and check parking spaces assigned to government vehicles, visitors, handicapped personnel, key personnel, car-pools, and others.

Safeguards: Access to and use of these records are limited to personnel whose official duties require such access.

Retention and disposal: Superseded policy materials are maintained by the Director, Office of Facilities Engineering and Property Management for historical purposes; Records at other HEW locations are maintained until the Parking Control purpose has been met, and the records are then destroyed.

System manager(s) and address:

Director, Office of Facilities Engineering and Property Management
Room 4193 North Building
HEW/Office of the Secretary
330 Independence Avenue, S.W.
Washington, D. C. 20201

Notification procedure: Access to these records may be obtained by request in writing to:

Office of Manager for Parking Control at HEW facility where HEW parking is provided.

Record access procedures: Same as above.

Contesting record procedures: Same as above.

Record source categories: Information in this system comes from reports from OS Staff, POC's and Regions, GSA-Federal Management circulars and Federal Property Management Regulations.

Systems exempted from certain provisions of the act: None.

09-90-0024

System name: Accounting records of Payments to Individuals from Agency and Regional Financial Management and Disbursing Offices. HEW OS ASMB 1.

Security classification: None.

System location: See appendix 1.

Categories of individuals covered by the system: Persons authorized to travel on official HEW business; persons awarded an HEW grant, contract or loan; persons authorized emergency salary advances; and consultants furnishing administrative and miscellaneous services.

Categories of records in the system: Name, identification number, address, purpose of payment, accounting classification and amount paid.

Authority for maintenance of the system: Budget and Accounting Act of 1950 (PL 81-784).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To the Treasury Department for check preparation; to members of Congress on behalf of a constituent or concerning a federal financial assistance program; See Departmental Regulations (45 CFR Part 5b), Appendix B, 3, 4, 6, 7, 8. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Hard copy documents are manually filed at agency and regional office sites; and on disc pack and magnetic tape at central computer sites.

Retrievability: This varies according to the particular operating accounting system within the Agency and Regional Office. Usually the hard copy document is filed by name within accounting classification. Computer records may be indexed by social security number and voucher number. Intra-departmental uses and transfers concern the validation and certification for payment, and for HEW internal audits.

Safeguards: Minimum safeguards to insure integrity of records, and that required to provide protection against loss by accident of carelessness; these records are classified as public information and are available through the Freedom of Information Act.

Retention and disposal: Records are purged from automated files once the accounting purpose has been served; printed copy and manual documents are retained and disposed of in accord with General Accounting Office principles and standards.

System manager(s) and address: See appendix 2.

Notification procedure: Inquiries are to be made, either in writing or in person, to the organizations listed under 'Location' in appendix 1,with the exception of Food and Drug Administration contact:

FDA Privacy Coordinator (HF-50)
Food and Drug Administration
5600 Fishers Lane
Rockville, Md. 20852

Give name and social security number, purpose of payment (travel, grant, etc.) and, if possible, the agency accounting classification.

Record access procedures: Same as in 'Notification'. See above.

Contesting record procedures: Same as in 'Notification'. See above.

Record source categories: Travel vouchers submitted by the individual; grant, contract or loan award document; consultant invoice of services rendered; and application for travel advance.

Systems exempted from certain provisions of the act: None.

Appendix 1 Location

Payments to Individuals records are located at the following HEW Regional Offices:

Regional Office 01
John F. Kennedy Federal Bldg.
Government Center
Boston, MA 02203

Regional Office 02
26 Federal Plaza
New York, NY 10007

Regional Office 03
Post Office Box 12900
Philadelphia, PA 19108

Regional Office 04
50 Seventh Street, N.E.
Atlanta, GA 30323

Regional Office 05
Room 712
433 West Van Buren Street
Chicago, IL 60607

Regional Office 06
1114 Commerce Street
Dallas, TX 75202

Regional Office 07
Federal Office Bldg.
601 East 12th Street
Kansas City, MO 64106

Regional Office 08
19th & Stout Streets
Denver, CO 80202

Regional Office 09
50 Fulton Street
San Francisco, CA 94102

Regional Office 010
Arcade Plaza Bldg.
1319 Second Avenue
Seattle, WA 98101

Payments to Individuals records are located at the following HEW Agency Headquarters and Field Offices:

Office of the Secretary (to include Office of Human Resources records)
Div. of Accounting Operations
Washington, DC 20201

Office of Education
Accounting Operations Section
Federal Office Bldg. 06
Washington, DC 20202

National Institute of Education
Finance Division, Room 710
1200 14th Street N.W.
Washington, DC 20208

Health Services Adm.
Office of Fiscal Services
Parklawn Bldg.
5600 Fishers Lane
Rockville, Md. 20852

Health Services Adm.
U.S. Public Health Service Hospital
77 Warrent Street Brighton
Boston, MA 02135

Heatlh Services Adm.
U.S. Public Health Service Hospital
Bay and Vanderbilt Streets - Stapleton
Staten Island, NY 10304

Health Services Adm.
U.S. Public Health Service Hospital
3100 Wyman Park Drive
Baltimore, MD 21211

Health Services Adm.
U.S. Public Health Service Hospital
6500 Hampton Boulevard - Larchmont
Norfolk, VA 23508

Health Services Adm.
Addiction Research Center
Leestown Pike - Box 2000
Lexington, KY 40501

Health Services Adm.
U.S. Public Health Service Hospital
Carville, LA 70721

Health Services Adm.
U.S. Public Health Service Hospital
210 State Street
New Orleans, LA 70118

Health Services Adm.
U.S. Public Health Service Hospital
4400 45th Avenue North
Galveston, TX 77550

Health Services Adm.
PHS Indian Health Area Office
Federal Office Bldg., & U.S. Court House
500 Gold Avenue, S.W.
Albuquerque, NM 87101

Health Services Adm.
PHS Indian Health Area Office
338 Post Office & Court House Bldg.
Oklahoma City, OK 73102

Health Services Adm.
Aberdeen Area Office
Indian Health Service
Federal Bldg.
Aberdeen, SD 57401

Health Services Adm.
03 At 7th West Central Avenue
Post Office Box 2143
Billings, MT 59103

Health Services Adm.
U.S. Public Health Service Hospital
15th Avenue & Lake Street
San Francisco, CA 94118

Health Services Adm
PHS Indian Health Area Office
801 East Indian School Road
Phoenix, AZ 85014

Health Services Adm.
U.S. Public Health Service Hospital
1131 14th Avenue, South
Post Office Box 3145
Seattle, WA 98114

Health Services Adm.
Alaska Area Native Health Service
Post Office Box 7-741
Anchorage, AK 99510

Public Health Service
Center for Disease Control
1600 Clifton Road
Atlanta, GA 30333

Public Health Service
Nat'l Institute for Occupational Safety & Health, CDC
532 U.S. Post Office & Courthouse Bldg.
Cincinnati, OH 45202

Food and Drug Adm.
HFA-120
5600 Fishers Lane
Rockville, MD 20852

Food and Drug Adm.
880 W. Peachtree St., N.W.
Atlanta, GA 30309

Food and Drug Adm
585 Commercial Street
Boston, MA 02109

Food and Drug Adm.
599 Delaware Avenue
Buffalo, NY 14202

Food and Drug Adm.
Room 700 - Federal Office Bldg.
850 3rd Avenue (At 30th Street)
Brooklyn, NY 11232

Food and Drug Adm.
20 Evergreen Pl.
East Orange, N.J. 07018

Food and Drug Adm.

Room 1204, U.S. Customhouse
2nd & Chestnut Streets
Philadelphia, PA 19106

Food and Drug Adm.
900 Madison Avenue
Baltimore, MD 21201

Food and Drug Adm.
P.O. Box S-4427
San Juan, P.R. 00905

Food and Drug Adm.
Room 1222 Main Post Office Bldg.
433 West Van Buren Street
Chicago, IL 60607

Food and Drug Adm.
1560 East Jefferson Avenue
Detroit, MI 48207

Food and Drug Adm.
1141 Central Parkway
Cincinnati, OH 45202

Food and Drug Adm.
240 Hennepin Avenue
Minneapolis, MN 55401

Food and Drug Adm.
3032 Bryan Street
Dallas, TX 75204

Food and Drug Adm.
Room 222 U.S. Customhouse Building
423 Canal Street
New Orleans, LA 70130

Food and Drug Adm.
National Center for Toxicological Research
Jefferson, AR 72079

Food and Drug Adm.
1009 Cherry Street
Kansas City, Mo. 64106

Food and Drug Adm.
Room 1002 U.S. Courthouse & Customhouse Building
1114 Market Street
St. Louis, MO 63101

Food and Drug Adm.
Room 573 New Customhouse Building
721 19th Street
Denver, CO 80202

Food and Drug Adm.
Room 518 Federal Office Building
50 Fulton Street
San Francisco, CA 94102

Food and Drug Adm.
1521 West Pico Boulevard
Los Angeles, CA 90015

Food and Drug Adm.
5003 Federal Office Bldg.
909 First Avenue
Seattle, WA 98174

National Institutes of Health
Operations Accounting Branch
Bldg. 31, Room B1B07
9000 Rockville Pike
Bethesda, MD 20014

National Institutes of Health
Rocky Mountain Laboratory
Hamilton, MT 59840

National Institutes of Health
Public Health Hospital
15th Avenue & Lake Street
San Francisco, CA 94118

Alcohol, Drug Abuse, & Mental Health Administration
Saint Elizabeths Hospital
Finance Office, Administration Bldg.
Washington, DC 20032

Social Security Administration
Administration, Program and Fiscal Operations Offices
1227 Annex Social Security Bldg.
Baltimore, MD 21235

Social Security Administration
Bureau of Supplemental Security Income
4-M-5 Annex Bldg.
Baltimore, Md. 21235

Social Security Administration
Bureau of Disability Payments
1506 Woodlawn Drive 1J2
Baltimore, MD 21241

Social Security Administration
Northeastern Program Center
96-05 Horace Harding Expressway
Flushing, NY 11368

Social Security Administration
Midatlantic Program Center
401 North Broad Street
Philadelphia, PA 19108

Social Security Administration
Southeastern Program Center
225 Third Avenue North
Birmingham, AL 35285

Social Security Administration
Great Lakes Program Center
165 North Canal Street
Chicago, IL 60606

Social Security Administration
MidAmerica Program Center
601 East 12th Street
Kansas City, MO 64106

Social Security Administration
Western Program Center
Post Office Box 100
San Francisco, CA 94101

Health Care Financing Administration
Room 1219 HEW South Building
330 C Street, S.W.
Washington, DC 20201

For Payments to Individuals records at the following central Payment office for grants and contracts:

Office of the Secretary
Federal Assistance Financing Branch
Westwood Building, Room 426
5333 Westbard Avenue
Bethesda, Maryland 20016

Appendix 2 System Manager

Departmental principles and standards concerning the system of records are the responsibility of:

Department of Health, Education and Welfare
Assistant Secretary for Management and Budget
Office of the Secretary
Room 510A, South Portal
Washington, DC 20201

Operational responsibilities are as follows:

For Payments to Individual records at Departmental and Regional Offices:

HEW, Office of Secretary and Regional Offices

Office of Secretary
Deputy Assistant Secretary, Finance
Room 705D1, South Portal
Washington, DC 20201

For Payments to Individual records at Principal Operating Component Offices:

Education (OE, NIE, ASE)

Office of Education (For OE and ASE)
Deputy Commissioner for Management
Room 4169 FOB-6
Washington, DC 20201

National Institute of Education
Associate Director for Administration and Management
Room 639 Brown Building
1200 14th Street, N.W.
Washington, DC 20208

Health (HSA, CDC, FDA, NIH, ADAMHA, HRA, ASH)

Public Health Service
Director, Division of Financial Management
Room 18-17, Parklawn Building
5600 Fishers Lane
Rockville, MD 20852

Social Security Administration

Social Security Administration
Director, Office of Financial Management
Room 840 Annex Social Security Bldg.
Baltimore, MD 21235

Office of Human Development

Office of Human Development
Director, Office of Administration and Management
Room 1107 Donohoe Building
400 6th Street, S.W.
Washington, DC 20201

Health Care Financing Administration

Health Care Financing Administration
Assistant Administrator for Financial Management
Room 5082, HEW-S
330 C Street, S.W.
Washington, DC 20201

09-90-0025

System name: Central Registry of Individuals Doing Business With HEW. HEW OS ASMB 2.

Security classification: None.

System location:

Division of Financial Operations and Fiscal Procedures
Room 739D1, South Portal
330 Independence Avenue, S.W.
Washington, DC 20201

Categories of individuals covered by the system: Individuals who are the recipients of Federal Domestic Assistance Grants, or of contracts awarded by HEW.

Categories of records in the system: An index of names, addresses and identification number (SSN) of the individual doing business with HEW. No other personally identifiable data are maintained. The index is termed public information since data relative to Federal Domestic Assistance and Contracts are public information.

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 Departmental Regulations (45 CFR Part 5b), Appendix B, 3, 4, 6, 7, 8. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Hard copy code booklets are manually filed at agency and regional office sites; and on disc pack and magnetic tape at central computer sites.

Retrievability: Record may be found in the Code Book by either name or social security number; record in disc pack and on magnetic tape is indexed by social security number. The Code Book provides a listing of data processing numbers for grant, contract and financial transactions. These numbers are used to access the name and address of the individual in the Automated Library (Central Registry). The information is used for check preparation, reports, mailings, etc.

Safeguards: Minimum safeguards to insure integrity of records, and that required to provide protection against loss by accident or carelessness.

Retention and disposal: Records are purged from the automated file each two years; only persons actively dealing with HEW remain on file. Code Books are replaced each year. Inactive books are destroyed.

System manager(s) and address:

Deputy Assistant Secretary, Finance
Deparment of HEW, Office of the Secretary
Room 705D1, South Portal
330 Independence Avenue, S.W.
Washington, DC 20201

Notification procedure: Inquiries are to be made, either in writing or in person, to the organization listed under 'location'.

Give name and social security number.

Record access procedures: Same as in 'Notification'.

Contesting record procedures: Same as in 'Notification'.

Record source categories: Grant and Contract documents. Names, social security numbers and addresses are provided by the individual when applying for a grant or contract from the Department.

09-90-0026

System name: Congressional Biographies HEW/OS/ASL

Security classification: None.

System location:

Room 425H South Portal Bldg.
200 Independence Avenue, S.W.
Washington, D.C. 20201

Categories of individuals covered by the system: Members of Congress indexed by name.

Categories of records in the system: Personal biographies supplied by Members' offices and picture.

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:

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

Storage: Biographies are maintained in ring-binders.

Retrievability: Biographies are indexed alphabetically by Member's name. Information is used for briefing Agency officials prior to meetings with respective Members of Congress or prior to giving testimony before Congressional Committees.

Safeguards: These biographies are public information, provided by the Members' offices.

Retention and disposal: Biographies are updated after each Congressional election.

System manager(s) and address:

Director, Congressional Liaison Office
Office of the Assistant Secretary for Legislation
Room 425H South POrtal Bldg.
200 Independence Avenue, S.W.
Washington, D.C. 20201

Notification procedure: Same as above.

Record access procedures: Same as above.

Contesting record procedures: Same as above.

Record source categories: Offices of the Members of Congress.

Systems exempted from certain provisions of the act: None.

09-90-0027

System name: Congressional Correspondence Unit. HEW/OS/ASL

Security classification: None.

System location:

Room 435G South Portal Building
200 Independence Avenue, S.W.
Washington, D.C. 20201

Categories of individuals covered by the system: Members of Congress indexed by name.

Categories of records in the system: Correspondence copies of direct inquiries and referrals of constituents' inquiries from Members of Congress, and responses to those inquiries, regarding the Department's activities, including, but not necessarily limited to: a. general program activities of the Department; b. individual case problems of named persons, families or institutions; c. employment or appointment interests. Control slips identifying the correspondent, the constituent on whose behalf the inquiry is made, the constituent's social security number if inquiry relates to a social security case, and a summary of the subject matter of the inquiry.

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: Inquiries which do not pertain to HEW, but fall under the jurisdiction of another Federal Agency, are transferred to that Agency with a request that a direct response be provided to the correspondent.

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

Storage: Paper files are maintained in standard file cabinets.

Retrievability: Records are indexed alphabetically by name of the Members of Congress. Inquiries are forwarded to the HEW Agency which has jurisdiction over the subject matter for preparation of a response.

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

Retention and disposal: Records are reviewed biannually. Correspondence which reflects final disposition of an inquiry dated one year previous is discarded. Control slip files for intra-Agency transfers are discarded after two calendar years. Control slip files for inter-Agency transfers are discarded after five years.

System manager(s) and address:

Director, Congressional Liaison Office
Office of the Assistant Secretary for Legislation
Room 435G South Portal Bldg. Building
200 Independence Avenue, S.W.
Washington, D.C. 20201

Notification procedure: System Manager; address same as above. The name of the person who corresponded with the Department with reference to the constituent and the approximate date of that correspondence must be provided.

Record access procedures: Address same as above.

Contesting record procedures: Address same as above.

Record source categories: The information in CCU files is provided by the correspondent and by the agency which prepares the final response.

Systems exempted from certain provisions of the act: None.

09-90-0028

System name: Biographies and Photographs of HEW Officials HEW/OS/ASPA

Security classification: None.

System location:

Office of the Assistant Secretary for Public Affairs
Public Information Division
Room 638E, South Portal Building
200 Independence Avenue, S.W.
Washington, D.C. 20201 (See Appendix 1 following).

Categories of individuals covered by the system: HEW employees in key management and technical positions, such as the Secretary, Under Secretary, Assistant Secretaries, Deputy Assistant Secretaries, Commissioners, Regional Directors, Deputy Regional Directories, Agency Heads, Unit Managers

Categories of records in the system: Biographical files consist of approved, printed personal and professional resumes and standard portrait pictures and biographical and professional questionnaires providing name, title, office location, telephone number, date of appointment to HEW, home address, home telephone, date of birth, place of birth, marital status, spouse's name, children's names, children's date of birth, education, military service, professional career data, professional affiliations, publications and articles authored, awards, citations, prizes and honors received, civic, social and fraternal associations, outside interests, such as hobbies, sports, recreation.

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

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

Storage: Records are maintained in individual and combined files and stored in standard five-drawer file cabinets in the offices listed under System Location.

Retrievability: Records are indexed by the name, in alphabetical order, of those in higher management and technical positions with the remainder combined in a 'miscellaneous' folder or folders. Made available to staff of the Department who have a need for photos or background information on these officials.

Safeguards: Files are maintained in the offices of Public Affairs and requests are honored on a 'need to know' basis only.

Retention and disposal: Records are periodically updated as circumstances warrant relative to promotions, reassignment, resignations, death.

System manager(s) and address: Same as in Location above and Appendix 1.

Notification procedure: Contact System Managers in areas where individual is employed. Addresses same as above, with the exception of Food and Drug Administration, contact:

FDA Privacy Coordinator (HF-50)
Food and Drug Administration
5600 Fishers Lane
Rockville, Md. 20852

Record access procedures: Same as in Notification.

Contesting record procedures: Same as above.

Record source categories: Information contained in the biographies comes from the individuals whose biographies they form and from other material furnished by agency public information offices. The biographies are cleared with the individuals whose biography they represent prior to release to the public and the news media.

Systems exempted from certain provisions of the act: None.

Appendix 1

Public Affairs Officer

Alcohol, Drug Abuse, and Mental Health Administration
Room 1695, 5600 Fishers Lane
Rockville, Maryland 20852

Public Affairs Officer
Center for Disease Control
Room 221, Building B
1600 Clifton Road
Atlanta, Georgia 30333

Public Affairs Officer
Food and Drug Administration
Room 15B41, 5600 Fishers Lane
Rockville, Maryland 20852

Public Affairs Officer
Health Resources Administration
Room 10A31, 5600 Fishers Lane
Rockville, Maryland 20852

Public Affairs Officer
Health Services Administration
Room 14A55, 5600 Fishers Lane
Rockville, Maryland 20852

Public Affairs Officer
National Institute of Education
Room 718, Brown Building
1200 - 19th Street, N.W.
Washington, D. C. 20036

Public Affairs Officer
National Institutes of Health
Room 309, Building 01
9000 Rockville Pike
Bethesda, Maryland 20014

Public Affairs Officer
Office of Education
Room 4159, FOB 06
400 Maryland Avenue, S.W.
Washington, D. C. 20202

Public Affairs Officer
Health Care Financing Administration
Room 5218, Mary E. Switzer Building
330 C Street, S.W.
Washington, D.C. 20201

Public Affairs Officer
Social Security Administration
Room 100, 6401 Security Boulevard
Baltimore, Maryland 21235

Public Affairs Officer
Department of Health, Education, and Welfare
John F. Kennedy Federal Building
Government Center
Boston, Massachusetts 02203

Public Affairs Officer
Department of Health, Education, and Welfare
Federal Building
26 Federal Plaza
New York, New York 10007

Public Affairs Officer
Department of Health, Education, and Welfare
3535 Market Street
Philadelphia, Pennsylvania 19101

Public Affairs Officer
Department of Health, Education, and Welfare
50 Seventh Street, N.E.
Atlanta, Georgia 30323

Public Affairs Officer
Department of Health, Education, and Welfare
300 South Wacker Drive
Chicago, Illinois 60606

Public Affairs Officer
Department of Health, Education, and Welfare
1114 Commerce Street
Dallas, Texas 75202

Public Affairs Officer
Department of Health, Education, and Welfare
601 East 12th Street
Kansas City, Missouri 64106

Public Affairs Officer
Department of Health, Education, and Welfare
1961 Stout Street
Denver, Colorado 80202

Public Affairs Officer
Federal Office Building
50 United Nations Plaza
San Francisco, California 94102

Public Affairs Officer
Department of Health, Education, and Welfare
Arcade Plaza
1321 Second Avenue
Seattle, Washington 98101

09-90-0036

System name: Employee Suggestion System. HEW/OS/ASMB/OMAS.

Security classification: None.

System location:

Room 542F South Portal Building
200 Independence Avenue, S.W.
Washington, D.C. 20201
Suggestion Coordinator's Offices located in Departmental Regional Offices and Principal Operatin Components.

Categories of individuals covered by the system: Individuals who have made suggestions in OS and in Principal Operating Components of the Department; and/or suggestions made by individuals in other Federal Departments requiring an HEW evaluation.

Categories of records in the system: Name and address of individuals submitting suggestions, and other identifying information such as salary and grade, including position title, and social security account number.

Authority for maintenance of the system: 5 U.S.C. 4501 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To CSC for information, possible award. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: The records are maintained in standard sized file cabinets.

Retrievability: The records are indexed in alphabetical order by the name of the employee submitting the suggestion. Records are available to Suggestion Coordinator's Staff having as part of their duties processing of suggestions. Control records are used by staff to log in suggestions, route suggestions, follow-up suggestions, and to adjudicate suggestions receiving awards. In addition, control cards are used to facilitate preparation of the annual report for the Department.

Safeguards: Direct access restricted to authorized staff.

Retention and disposal: Suggestions records are maintained for two years, and sent to Federal Record Center.

System manager(s) and address:

Suggestion Coordinator
Room 542F South Portal Building
200 Independence Avenue, S.W.
Washington, D.C. 20201

Notification procedure: Suggestion Coordinator for all inquiries at location where suggestion was made; identification by name of suggester.

Record access procedures: Same as above.

Contesting record procedures: Same as above.

Record source categories: Incoming suggestions, responses and other material obtained during course of adjudication.

09-90-0037

System name: Secretary's Correspondence Control System. HEW/OS/ES

Security classification: None.

System location:

Room 602C South Portal
200 Independence Avenue S.W.
Washington, D.C. 20201

Categories of individuals covered by the system: Individuals who have contacted the Secretary or the Under Secretary or who have been contacted in writing by them.

Categories of records in the system: Hard Copies of the Secretary's and Under Secretary's correspondence computer printout, tape, and interactive control system of records of that correspondence.

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: None

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

Storage: The records are maintained in hard-copy filed in standard file cabinets. The control records are maintained in hard copy, computer tape and computer disk files for on-line interactive processing.

Retrievability: Records are indexed chronologically by date of correspondence and also by name, subject and numerical control number. Records are available to staff responsible for preparation of responses to inquiries and to the staff of the Executive Secretariat. Records are used for control and reference purposes in staffing out issues and correspondence of concern to the Secretary or the Under Secretary.

Safeguards: Direct access is limited to the staff of the Executive Secretariat and POC control personnel. Access to the records is limited during non-working hours to individuals with keys to both the file cabinets and to the room in which the records and/or computer terminals are located.

Retention and disposal: Hard Copy records are retired to the National Archives after two years. Control records are maintained indefinitely. Computer records are purged after correspondence is finalized for 60 days.

System manager(s) and address:

Executive Secretary to the Department
Room 636G, South Portal Bldg.
200 Independence Avenue, S.W.
Washington, D.C. 20201

Notification procedure: Inquiries should be addressed to the System Manager. The inquirer should indicate the individual with whom the Secretary or Under Secretary corresponded, the date of the incoming correspondence and the date of the outgoing correspondence from the Secretary or the Under Secretary. Address is same as above.

Record access procedures: Same as above.

Contesting record procedures: Same as above.

Record source categories: Computer records are derived from the incoming correspondence for the Secretary and the Under Secretary.

09-90-0038

System name: Secretary's Official Files. HEW/OS/ES

Security classification: None.

System location:

Room 636G, South Portal Bldg.
200 Independence Aveneu S.W.
Washington, D.C. 20201

Categories of individuals covered by the system: Individuals who have contacted the Secretary or the Under Secretary or who have been contacted in writing by them.

Categories of records in the system: Hard copies of documents signed or initialed by the Secretary or the Under Secretary.

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:

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

Storage: The records are maintained in hard copy filed in standard file cabinets.

Retrievability: Records are indexed by subject, name and organization. Records are available to the staff of the Executive Secretariat for reference purposes in staffing out issues of concern to the Secretary or the Under Secretary.

Safeguards: Direct access is limited to the staff of the Executive Secretariat. Access is limited during non-working hours to individuals with keys to the file room.

Retention and disposal: Records are maintained for two years and are then sent to the National Archives.

System manager(s) and address:

Executive Secretary to the Department
Room 636 G, South Portal Bldg.
200 Independence Avenue, S.W.
Washington, D.C. 20201

Notification procedure: Inquirires should be addressed to the system manager at the above address. The inquirer should indicate the subject matter of the issue involved, the date of the subject documents, and the author and/or addressees.

Record access procedures: Same as above.

Contesting record procedures: Same as above.

Record source categories: Records are derived from documents signed or initialed by the Secretary or the Under Secretary.

09-90-0039

System name: Family Educational Rights and Privacy Act--School Recordkeeping Practices Correspondence and Complaint System. HEW/OS/ASMB/FERPA.

Security classification: None.

System location:

Room 526E South Portal Building
200 Independence Avenue, S.W.
Washington, D.C. 20201

Categories of individuals covered by the system: Individuals who have made inquiries or who have filed complaints alleging violations of the provisions of the Family Educational Rights and Privacy Act of 1974; and those who have commented to the Department on its proposed rules and practices.

Categories of records in the system: Name and address of individuals submitting correspondence, responses and exchanges of material associated with investigations of complaints.

Authority for maintenance of the system: The Family Educational Rights and Privacy Act of 1974 (20 USC 123g(g)).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To members of Congress who inquire on behalf of a constituent; to an educational agency or institution against which a complaint has been made. See Appendix B of Departmental Regulations, (45 CFR Part 5b), Items: 01,3,8. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: The records are maintained in hard-copy filed in standard file cabinets.

Retrievability: For the most part records are indexed by name of individual signing incoming correspondence; when indexed chronologically, or by organization, they are cross-indexed by name of individual signer. Records are available to FERPA staff involved in correspondence and investigative processes, including members of the Office of General Counsel. Occasionally, personnel with special expertise in other program areas may be given records for the purpose of assisting FERPA staff in resolution of issues.

Safeguards: Direct access is restricted to authorized FERPA staff; access to room in which file cabinets are maintained is limited during non-working hours to those with keys to room.

Retention and disposal: Inquiry records are maintained three years; complaint and investigative records are maintained five years past date of case closing.

System manager(s) and address:

Head, FERPA Office
Room 526E South Portal Building
200 Independence Avenue, S.W.
Washington, D.C. 20201

Notification procedure: System manager; for general inquiries, name and date of previous correspondence, if known; for complaint/investigative material, name and any I.D. number assigned. Address is same as above.

Record access procedures: Same as Above.

Contesting record procedures: Same as Above.

Record source categories: Incoming correspondence, responses and material obtained during course of any investigation.

Systems exempted from certain provisions of the act: None.

09-90-0041

System name: Consumer Mailing Lists. HEW/OS/OCA

Security classification: None.

System location:

624 Reporters Bldg.
7th and D Sts., S.W.
Washington, D. C. 20201

Categories of individuals covered by the system: Individual consumers, business and government officials.

Categories of records in the system: Names and addresses of individuals requesting consumer information.

Authority for maintenance of the system: Executive Order 011583 of February 24, 1971 and Reorganization Plan 01 of 1953.

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

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

Storage: Conventional file cabinets, addressograph plates, and computers.

Retrievability: By name. Used by the OCA Public Affairs staff to distribute information on current consumer topics to consumers, business, government and the media.

Safeguards: Personnel screening during working hours and secured building after working hours.

Retention and disposal: Files are updated quarterly and disposed of through normal trash and erasure of computer tapes.

System manager(s) and address:

Director, Public Affairs
624 Reporters Bldg.
7th and D Sts., S.W.
Washington, D. C. 20201

Notification procedure:

Director, Administrative Management & Finance
626 Reporters Bldg.
7th and D Sts., S.W.
Washington, D. C. 20201

Record access procedures: Same as notification above. Address same as above.

Contesting record procedures: Same as notification above.

Record source categories: Correspondence and telephone calls from individual consumers, business and government officials.

Systems exempted from certain provisions of the act: None.

09-90-0046

System name: Consumer Complaint Correspondence System HEW/OS/OCA

Security classification: None.

System location:

Room 612 Reporter's Building
7th and D Sts., S.W.
Washington, D.C. 20201

Categories of individuals covered by the system: Individual Consumers.

Categories of records in the system: Correspondence concerning consumer complaints.

Authority for maintenance of the system: Executive Order 011583, February 24, 1971; Reorganization Plan 01 of 1953.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Resolution of individual citizen complaints through referral to other Federal agencies, non-Federal governments, voluntary groups and private business firms; to meet requests for specific statistical data on consumer complaints requested by the Congress and the Office of Management and Budget, White House Office, and from other Federal agencies as well as the media (e.g. requests for information on availability of canning jar lids); and to make records available when discovery service incident to a regular action is presented to the Office of Consumer Affairs.

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

Storage: Individual files in cabinets, and statistical information maintained in computer system.

Retrievability: Data acquired through sequential identification numbers. Primary usage is development of internal statistical data for office management purposes particularly in identifying trends in consumer complaints.

Safeguards: Personnel screening during working hours and secured building after working hours.

Retention and disposal: Records prior to August 1, 1974 have been shipped to the Presidential Library System for permanent retention. Records received subsequent to August 1, 1974 are retained for not less than one nor more than two fiscal years. Computerized records limited to six-month period.

System manager(s) and address:

Director, Administrative Management & Finance
626 Reporters Bldg.
7th and D Sts., S.W.
Washington, D.C. 20201

Notification procedure: System manager. Address is same as above.

Record access procedures: Same as above.

Contesting record procedures: Same as above.

Record source categories: Correspondence and telephone calls from individual consumers.

Systems exempted from certain provisions of the act: None.

09-90-0047

System name: Directory, Federal, State, County and City Government Consumer HEW/OS/OCA Offices.

Security classification: None.

System location:

600 Reporters Bldg.
7th and D Sts., S.W.
Washington, D.C. 20201

Categories of individuals covered by the system: List of Federal agency consumer liaison contacts, directors of state, county, and city government consumer offices and branch offices, plus office addresses and phone numbers.

Categories of records in the system: Names, addresses, office telephone numbers; correspondence, publications, copies of speeches, and reports from the offices.

Authority for maintenance of the system: Executive Order 011583 of February 24, 1971; Reorganization Plan 01 of 1953.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Serves as source basis for annual Office of Consumer Affairs publication of Directory,

Federal, State, County and City Government Consumer Offices which is for sale by the Superintendent of Documents to the general public.

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

Storage: Correspondence file in file folders; names of office directors, office addresses and office phone numbers on card file; addresses on addressograph plates also.

Retrievability: Indexed by state, county, and city; by office title. Used by OCA staff for general information and update compilations of Directory annually; serves as communication link with these offices and as source material for semi-annual publication of State Consumer Action, which reports activities of these offices.

Safeguards: Routine office personnel screening; names, addresses, and office phone numbers are published annually as a free access government document unless specifically requested not to publish by office and/or individual involved. Correspondence not revealed unless requesting party can adequately prove identity as sender, need for data and intended use are valid, and sender provides OCA with verbal or written approval.

Retention and disposal: Records maintained as long as information is valid; destroyed periodically through regular disposal channels.

System manager(s) and address:

Director, External Liaison
600, Reporters Bldg.
7th and D Sts., S.W.
Washington, D.C. 20201

Notification procedure:

Director, Administrative Management & Finance
626 Reporters Bldg.
7th and D Sts., S.W.
Washington, D. C. 20201

Record access procedures: Same as Notification above; address same as above.

Contesting record procedures: Same as Notification above; address same as above.

Record source categories: Information comes from the offices concerned or from other public documents.

Systems exempted from certain provisions of the act: None.

09-90-0048

System name: Consumer Liaison Contacts. HEW/OS/OCA

Security classification: None.

System location:

600 Reporters Bldg.
7th and D Sts., S.W.
Washington, D.C. 20201

Categories of individuals covered by the system: Governmental and non-governmental consumer leaders.

Categories of records in the system: Names, addresses, telephone numbers and other pertinent background information relating to individual participation in consumer activities.

Authority for maintenance of the system: Executive Order 011583, February 24, 1971; Reorganization Plan 01 of 1953.

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

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

Storage: Maintained in paper files in standard file cabinets.

Retrievability: Alphabetical listing by name and by geographical locations. Used by OCA staff as resource list to insure input from consumer leaders in significant consumer issues and in development of and recommendations for appointments to advisory bodies and other consumer related positions.

Safeguards: Personnel screening during working hours and secured building after working hours.

Retention and disposal: Files screened not less than annually and disposed of by common office.trash.

System manager(s) and address:

Director, External Liaison
600 Reporters Bldg.
7th and D Sts., S.W.
Washington, D. C. 20201

Notification procedure:

Director, Administrative Management & Finance
626 Reporters Bldg.
7th and D Sts., S.W.
Washington, D. C. 20201

Record access procedures: Same as notification above; address same as above.

Contesting record procedures: Same as notification above.

Record source categories: Information supplied from leaders directly, upon request by OCA staff, or memoranda and letters submitted by others suggesting individuals for consideration.

Systems exempted from certain provisions of the act: None.

09-90-0049

System name: Office of External Liaison -- Consumer Correspondence Files. HEW/OS/OCA

Security classification: None.

System location:

600 Reporters Bldg.
7th and D Sts., S.W.
Washington, D. C. 20201

Categories of individuals covered by the system: Individual consumer educators and consumer leaders.

Categories of records in the system: Inquiries and correspondence files relating to consumer issues.

Authority for maintenance of the system: Executive Order 011583 of February 24, 1971; Reorganization Plan 01 of 1953.

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

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

Storage: Conventional file cabinets.

Retrievability: Alphabetically by name. Internal reference and resource for sharing information on consumer issues with individual consumers and consumer leaders.

Safeguards: Personnel screening during working hours and secured building after working hours.

Retention and disposal: Files screened annually and retained not more than three years. Disposed of with common office trash.

System manager(s) and address:

Director, External Liaison
600 Reporters Bldg.
7th and D Sts., S.W.
Washington, D. C. 20201

Notification procedure:

Director, Administrative Management & Finance
626 Reporters Bldg.
7th and D Sts., S.W.
Washington, D. C. 20201

Record access procedures: Same as notification above. Address is same as above.

Contesting record procedures: Same as notification above.

Record source categories: The bulk of the information contained in these files consists of letters and memoranda sent to or received from individual consumers and consumer leaders.

Systems exempted from certain provisions of the act: None.

09-90-0050

System name: Case Following System HEW OS/OCR.

Security classification: None.

System location: See Appendix 1.

Categories of individuals covered by the system: Persons filing complaints or involved in litigation concerning discrimination in employment, education, benefits, or services on the basis of race, color, sex, national origin, or handicap in programs and institutions using funds controlled by the Department.

Categories of records in the system: Name, address, race, age, sex, national origin.

Authority for maintenance of the system: Title VI of the Civil Rights Act of 1964, Title IX and VII of the Education Amendments of 1972, Sections 799A and 845 of the Public Health Services Act, Executive Order 11246, Section 504 of the Rehabilitation Act of 1973.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Magnetic disc and tape.

Retrievability: Records are indexed by case or complaint number, but may be recalled by name, address, or any other characteristic by OCR staff engaged in compliance activities.

Safeguards: The physical data processing storage is controlled by a private company under a GSA contract which includes appropriate security measures. This agency references data through communication terminals with access controlled by passwords.

Retention and disposal: Indefinite retention. Disposal by electronic erasure.

System manager(s) and address:

Assistant Director (Administration and Management)
Office for Civil Rights
330 Independence Ave., S. W.
Room 3557 - North Building
Washington, D. C. 20201

Notification procedure: System Manager (above). Provide name, address, and name of institution, contractor, or HEW program with which individual has contact.

Record access procedures: System Manager (above).

Contesting record procedures: System Manager (above).

Record source categories: Information in complaint investigation files.

Systems exempted from certain provisions of the act: None.

Appendix Number 1 System Locations

This system is located at HEW offices in the following cities:

HEW, Office for Civil Rights
330 Independence Avenue, S. W.
Washington, D. C. 20201

Region I, Regional CR Director
Government Center--Bulfinch Place
Boston, Massachusetts 02114

Region II, Regional CR Director
26 Federal Plaza
New York, New York 10007

Region III, Regional CR Director
3535 Market Street, Post Office Box 13716
Philadelphia, Pennsylvania 19101

Region IV, Regional CR Director
50 Seventh Street, N.E.
Atlanta, Georgia 30323

Region V, Regional CR Director
300 South Wacker Drive, 8th Floor
Chicago, Illinois 60606

Region V, Regional CR Director
Plaza Nine Building, 55 Erieview Plaza
Cleveland, Ohio 44114

Region VI, Regional CR Director
1114 Commerce Street
Dallas, Texas 75202

Region VII, Regional CR Director
12 Grand Building, 1150 Grand Avenue
Kansas City, Missouri 64106

Region VIII, Regional CR Director
Federal Building, 1961 Stout Street
Denver, Colorado 80202

Region IX, Regional CR Director
760 Market Street
San Francisco, California 94102

Region X, Regional CR Director
1321 Second Avenue, MS/508
Seattle, Washington 98101

09-90-0051

System name: Complaint Files, Office of New Programs, HEW OS/OCR/ONP.

Security classification: None.

System location:

HEW, Office for Civil Rights
330 Independence Avenue, S. W.
Washington, D. C. 20201

Categories of individuals covered by the system: Handicapped Individuals.

Categories of records in the system: Complaint allegation, results of investigation of the allegation, correspondence related to the complaint.

Authority for maintenance of the system: Section 504, PL 73-112 (Rehabilitation Act of 1973).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: File folders and file cards.

Retrievability: By name for use by OCR staff in complaint investigations.

Safeguards: File cabinets and file card boxes.

Retention and disposal: Indeterminate.

System manager(s) and address:

Assistant Director (Administration and Management)
Office for Civil Rights
330 Independence Avenue, S. W.
Room 3557 - North Building
Washington, D. C. 20201

Notification procedure: System Manager (above). Include name and address of complaint as well as a copy or summary of allegations contained in the original complaint.

Record access procedures: System Manager (above).

Contesting record procedures: System Manager (above).

Record source categories: Complaint information filed with the Department by or on behalf of the individual complainant.

Systems exempted from certain provisions of the act: None.

09-90-0052

System name: Complaint Files, Contract Compliance Division, HEW OS-OCR-CCD.

Security classification: None.

System location: See Appendix 1 to Case Following System HEW, OS, SYSTEM 01.

Categories of individuals covered by the system: Individuals who file complaints with Department alleging race/color/religion/sex/national origin discrimination in employment by employers who receive Federal contracts and for whom HEW has been assigned compliance agency responsibility.

Categories of records in the system: Complaint allegation, results of investigations of the allegation, correspondence related to the complaint.

Authority for maintenance of the system: Executive Order 11246 as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Complaints from individuals may be referred to other Federal agencies of competent jurisdiction, specifically, the Department of Labor, the Equal Employment Opportunity Commission, and the Justice Department. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: File folders.

Retrievability: By name, for use by OCR staff in complaint investigation.

Safeguards: File cabinets which can be locked.

Retention and disposal: Indeterminate.

System manager(s) and address:

Assistant Director (Administration and Management)
Office for Civil Rights
330 Independence Avenue, S.W.
Room 3557 - North Building
Washington, D.C. 20201

Notification procedure: Notify appropriate system manager and include name and address as well as a copy or summary of allegations contained in the complaint.

Record access procedures: Submit inquiry to appropriate System Manager.

Contesting record procedures: Submit inquiry to appropriate System Manager.

Record source categories: Information primarily furnished by the complainant.

Systems exempted from certain provisions of the act: None.

09-90-0053

System name: Complaint Log, Elementary-Secondary Division, HEW OS-OCR-ESE.

Security classification: None.

System location: See Appendix 1 To Case Following System HEW, OS, System 01.

Categories of individuals covered by the system: Persons filing complaints with the Department alleging discrimination on the basis of race, color, sex, or national origin in elementary and secondary education programs receiving Federal funds through the Department.

Categories of records in the system: Complainant's name and address.

Authority for maintenance of the system: Title VI of the 1964 Civil Rights Act, Title IX of the Education Amendments of 1972 and Emergency School Assistance Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: File folders.

Retrievability: By name, using manual search through all entries, for use by OCR staff in complaint investigations.

Safeguards: Stored in file cabinet.

Retention and disposal: Indeterminate.

System manager(s) and address:

Assistant Director (Administration and Management)
Office for Civil Rights
330 Independence Avenue, S.W.
Room 3557 - North Building
Washington, D.C. 20201

Notification procedure: Notify appropriate system manager and include name and address as well as a copy or summary of allegations contained in the complaint.

Record access procedures: Submit inquiry to the appropriate System Manager.

Contesting record procedures: Submit inquiry to the appropriate System Manager.

Record source categories: Information is provided by or on behalf of the complainant.

09-90-0054

System name: Complaint Files, Health & Social Services Division, HEW OS-OCR-HSS.

Security classification: None.

System location: See Appendix 1 To Case Following System HEW, OS, OCR-01.

Categories of individuals covered by the system: Individuals who file complaints with the Department concerning race/ethnic/sex discrimination in the delivery of Health and Social Services or in admission to certain federally-funded training programs.

Categories of records in the system: Complainant's name and address.

Authority for maintenance of the system: 42 U.S.C. 2000d; PHS Act-Titles VII & VII

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: File folders.

Retrievability: By name, for use by OCR staff in complaint investigations.

Safeguards: File cabinets which can be locked.

Retention and disposal: Indeterminate.

System manager(s) and address:

Assistant Director (Administration and Management)
Office for Civil Rights
330 Independence Avenue, S.W.
Room 3557 North Building
Washington, D.C. 20201

Notification procedure: System Manager (above). Include name and address of complainant as well as a copy or summary of allegations contained in the original complaint.

Record access procedures: System Manager (above).

Contesting record procedures: System Manager (above).

Record source categories: Information primarily furnished by the complainant. Investigative material is obtained from other sources contingent upon the nature of the complaint.

Systems exempted from certain provisions of the act: None.

09-90-0055

System name: Complaint file, Higher Education Division, HEW OS-OCR-HED.

Security classification: None.

System location: See Appendix 1 To Case Following System HEW, OS, OCR-01.

Categories of individuals covered by the system: Individuals who file complaints with the Department concerning discrimination under Executive Order 11246, Title VI, Title IX, and PHSA.

Categories of records in the system: Complaint's name and address.

Authority for maintenance of the system: Executive Order 11246, as amended; Title VI of the Civil Rights Act of 1964; Title IX of the Education Amendments of 1972; and Sections 799A and 845 of the Public Health Service Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: File folders.

Retrievability: By name, for use by OCR staff in complaint investigations.

Safeguards: File cabinet which can be locked.

Retention and disposal: Indeterminate.

System manager(s) and address:

Assistant Director (Administration and Management)
Office for Civil Rights
330 Independence Avenue, S.W.
Room 3557 - North Building
Washington, D.C. 20201

Notification procedure: System Manager (above). Name and address of individuals, and contractor/institution.

Record access procedures: System Manager (above).

Contesting record procedures: System Manager (above).

Record source categories: Information primarily furnished by the complainant.

Systems exempted from certain provisions of the act: None.

09-90-0056

System name: New Orleans Louisiana Review, HEW OS-OCR-HSS.

Security classification: None.

System location: See Appendix 1 To Case Following System HEW, OS, OCR-01.

Categories of individuals covered by the system: Physicians in New Orleans referring patients to hospitals.

Categories of records in the system: Individual physician's name and address.

Authority for maintenance of the system: Title VI of the Civil Rights Act of 1964 (42 USC 2000d, 45 CRF Part 80), under court order.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Departmental Regulations (45 CFR Part 5b) Appendix B. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Cards in Room 4528-G HEW North.

Retrievability: Card file is used in data processing.

Safeguards: Card file is in locked room.

Retention and disposal: Indeterminate.

System manager(s) and address:

Assistant Director (Administration and Management)
Office for Civil Rights
330 Independence Avenue, S.W.
Room 3557 - North Building
Washington, D.C. 20201

Notification procedure: System Manager (above).

Record access procedures: System Manager (above).

Contesting record procedures: System Manager (above).

Record source categories: Data were provided by New Orleans, Louisiana Hospitals.

Systems exempted from certain provisions of the act: None.

09-90-0058

System name: Freedom of Information Case File and Correspondence Control Index. HEW OS-ASPA-FOIA.

Security classification: None.

System location:

Room 618C South Portal Building
200 Independence Avenue, S.W.
Washington, D.C. 20201
(See Appendix 1 following)

Categories of individuals covered by the system: Individuals or organizations requesting access to inspect and/or copy records of the Department under provisions of the Freedom of Information Act.

Categories of records in the system: Name, address, and other individually identifying information about the requestor and the records sought.

Authority for maintenance of the system: Freedom of Information Act, P.L. 93-502 (5 U.S.C. 552) HEW Public Information Regulation (45 CFR, 5).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information will be released for the purposes cited in HEW proposed regulations, Appendix B, parts 3, 8, and 9. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Original or copy of incoming request and written response maintained in case file jackets and corresponding control log.

Retrievability: For the most part records are indexed by name of individual requestor. Records are available to FOI staff involved in correspondence and investigative processes, including appeals officials and members of the of the Office of General Counsel.

Safeguards: Records are maintained in Conserva-File cabinets in the offices of the Freedom of Information Officers and public affairs officers throughout the Department with limited access.

Retention and disposal: Individual case files are maintained for two years and then disposed of.

System manager(s) and address:

Freedom of Information Officer, PA
Room 618C, South Portal Building
200 Independence Avenue, S.W.

Washington, D.C. 20201
(See Appendix 1 following)

Notification procedure: System Managers. Addresses same as above with the exception of Food and Drug Administration, contact:

FDA Privacy Coordinator (HF-50)
Food and Drug Administration
5600 Fishers Lane
Rockville, Md. 20852

Record access procedures: Access to these records may be obtained by request in writing or in person to FOI Officer and public affairs officers throughout the Department, addresses same as above.

Contesting record procedures: Same as above.

Record source categories: Individuals and organizations making requests under the Freedom of Information Act or from components of the Department reporting on the handling of such requests for inclusion in the annual report to Congress.

Systems exempted from certain provisions of the act: None.

Appendix 1

Public Affairs Officer
Alcohol, Drug Abuse, and Mental Health Administration
Room 1695, 5600 Fishers Lane
Rockville, Maryland 20852

Public Affairs Officer
Center for Disease Control
Room 221, Building B
1600 Clifton Road
Atlanta, Georgia 30333

Public Affairs Officer
Food and Drug Administration
Room 15B41, 5600 Fishers Lane
Rockville, Maryland 20852

Public Affairs Officer
Health Resources Administration
Room 10A31, 5600 Fishers Lane
Rockville, Maryland 20852

Public Affairs Officer
Health Services Administration
Room 14A55, 5600 Fishers Lane
Rockville, Maryland 20852

Public Affairs Officer
National Institute of Education
Room 717, Brown Building
1200 - 19th Street, N.W.
Washington, D. C. 20036

Public Affairs Officer
National Institutes of Health
Room 309, Building 01
9000 Rockville Pike
Bethesda, Maryland 20014

Public Affairs Officer
Office of Education
Room 4159, FOB 06
400 Maryland Avenue, S.W.
Washington, D. C. 20202

Public Affairs Officer
Health Care Financing Administration
Room 5218, Mary E. Switzer Building
330 C Street, S.W.
Washington, D.C. 20201

Public Affairs Officer
Social Security Administration
Room 100, 6401 Security Boulevard
Baltimore, Maryland 21235

Public Affairs Officer
Department of Health, Education, and Welfare
John F. Kennedy Federal Building
Government Center
Boston, Massachusetts 02203

Public Affairs Officer
Department of Health, Education, and Welfare
Federal Building
26 Federal Plaza
New York, New York 10007

Public Affairs Officer
Department of Health, Education, and Welfare
3535 Market Street
Philadelphia, Pennsylvania 19101

Public Affairs Officer
Department of Health, Education, and Welfare
50 Seventh Street, N.E.
Atlanta, Georgia 30323

Public Affairs Officer
Department of Health, Education, and Welfare
300 South Wacker Drive
Chicago, Illinois 60606

Public Affairs Officer
Department of Health, Education, and Welfare
1114 Commerce Street
Dallas, Texas 75202

Public Affairs Officer
Department of Health, Education, and Welfare
601 East 12th Street
Kansas City, Missouri 64106

Public Affairs Officer
Department of Health, Education, and Welfare
1961 Stout Street
Denver, Colorado 80202

Public Affairs Officer
Federal Office Building
50 United Nations Plaza
San Francisco, California 94102

Public Affairs Officer
Department of Health, Education, and Welfare
Arcade Plaza
1321 Second Avenue
Seattle, Washington 98101

09-90-0059

System name: Federal Advisory Committee Membership Files, HEW OS - ASPER-DCMO.

Security classification: None.

System location: System location is determined by nature of advisory committee. See Appendix 1.

Categories of individuals covered by the system: Individuals who have been or are presently members of or are being considered for membership on advisory committees within the jurisdiction of the Department of Health, Education, and Welfare. Additionally the system of records contains information about members of the public who have requested that they receive various publications through the inclusion of their names and addresses on various mailing lists.

Categories of records in the system: Information maintained on those individuals who have requested participation on mailing lists is limited to name and mailing address. Information maintained on individuals who are past, present, or recommended members of advisory committees subject to this notice consists of one or more of the following: name, title, sex, place and date of birth, home address, business address, organizational affiliation, phone number, degrees held, general educational background, ethnic background, resume, curriculum vitae, dates of term on advisory committee, status on advisory committee, reason for leaving advisory committee, previous or current membership on other advisory committees, special qualifications of the individual for the advisory committee membership, source who recommended the individual for member-

ship on advisory committee and miscellaneous correspondence. Additionally, memoranda justifying the individual's selection are included in the file in cases in which the individual has served repetitively on advisory committees, has not had a one-year break in service on advisory committees, or where various statutory or other requirements for advisory committee membership cannot be met.

Authority for maintenance of the system: Federal Advisory Committee Act (5 U.S.C. App. I et seq.).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Annual Report to the President; administrative reports to OMB and GSA. In accordance with Appendix B Departmental Regulations (45 CFR Part 5b) Items 01,3. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Records are maintained in hard-copy filed in file cabinets, on index cards, on magnetic tape, or in computer storage.

Retrievability: For the most part records are maintained in an alphabetical index by name of the individual. Certain files are based on other factors, e.g. Advisory Committee name, with a cross index based on an alphabetical listing of individuals. Certain other records are retrievable by individually identifiable computer identification codes. Certain of the mailing lists which are maintained are indexed by ZIP Code and within zone by alphabetical listing by name of the individual. Records from the system are available to the staffs of the respective Advisory Committees, the Committee Management Officers, the Departmental Committee Management Officer and other Departmental staff on a need-to-know basis. Uses include special administrative reports; quarterly alphabetical listings of past, present, and recommended members of Advisory Committees; computer lists of vacancies, acceptances, separations, active members, statistical reports by sex, youth, geographic location, etc; documentation of nominations; and other administrative needs.

Safeguards: Direct access to records is restricted to authorized personnel through locked files, rooms, and buildings as well as building pass and security guard sign-in systems. Certain facilities are also protected by closed circuit television systems. Computer systems are secured through locked magnetic tape libraries as well as lockword-password computer access systems.

Retention and disposal: Retention is variable from one year to permanent retention depending upon the type of record, e.g., names of former members of advisory committees are retained permanently. Certain records are disposed of by referral to the Federal Records Center. Others are disposed of as trash by the system manager or office of security depending upon the confidentiality of the information contained on the record.

System manager(s) and address: See Appendix 1. Federal Advisory Committee Membership Files.

Notification procedure: Same as above with the exception of Food and Drug Administration, contact:

FDA Privacy Coordinator (HF-50)
Food and Drug Administration
5600 Fishers Lane
Rockville, Md. 20852 Verification of identification of individuals inquiring as to information contained in this System of Record shall be in accordance with the procedures outlined in regulations published by the Department of Health, Education, and Welfare to implement the Privacy Act.

Record access procedures: Same as above.

Contesting record procedures: Same as above.

Record source categories: The vast majority of information contained in records on individuals is obtained directly from the individual. Other information in the form of references and recommendations is obtained from other private individuals, program personnel, biographical reference books, private organizations, former employers, regional offices of HEW, Members of Congress, and other government sources.

Appendix Number 1 Federal Advisory Committee Membership Files

Department of Health, Education, and Weflare
Department Committee Management Officer
Departmental Policy Coordinator
Room 4357N
330 Independence Avenue, S.W.
Washington, D.C. 20201

Alcohol, Drug Abuse, and Mental Health Administration
Office of the Administrator
Committee Management Officer
Room 13-103
5600 Fishers Lane
Rockville, Maryland 20857

Center for Disease Control
Committee Management Officer
Management Analysis Branch
Room 111
255 E. Paces Ferry Road, N.E.
Atlanta, Georgia 30305

Department of Health, Education, and Welfare
Office of the Secretary
Committee Management Office
Room 4357N
330 Independence Avenue, S.W.
Washington, D.C. 20201

Food and Drug Administration
Office of Science
Committee Management Office
Room 7-79
5600 Fishers Lane
Rockville, Maryland 20857
Health Care Financing Administration
Records Committee Management Officer
Room 4200-B, M.E. Switzer Building 330 C Street, S.W.
Washington, D.C. 20201

Health Resources Adminstration and
Health Services Administration
Division of Management Services
Committee Management Officer
Room 10-A-25
5600 Fishers Lane
Rockville, Maryland 20857

National Institutes of Health
Committee Management Officer
National Institutes of Health,
Building 01, Room 303
Bethesda, Maryland 20014

Office of Education
Office of Management
Committee Management Officer
Committee Management Staff
Room 4156
400 Maryland Avenue, S.W.
Washington, D.C. 20202

Social Security Administration
OMA, Management Policy and Programs Branch
Committee Management Officer
Room 4-R-22, Operations Building
6401 Security Boulevard
Woodlawn, Maryland 21235

09-90-0060

System name: Complaint Files on Nursing Homes. HEW R RD OLTC

Security classification: None.

System location:

Region I, Office of Regional Director
John F. Kennedy Federal Building
Government Center
Boston, Massachusetts 02203

Regional IX, Office of Regional Director
Federal Office Building
50 Fulton Street
San Francisco, California 94102

Categories of individuals covered by the system: Persons who make complaints on nursing homes certified under Titles XVIII (Medicare) and XIX (Medicaid) of the Social Security Act.

Categories of records in the system: Correspondence from complainant, copies of HEW response, or notation of refferal to relevant State agency.

Authority for maintenance of the system: Titles XVIII and XIX, Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: In accordance with Appendix B Departmental Regulations (45 CFR Part 5b) Item 05. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Paper files.

Retrievability: Indexed alphabetically by name of complainant. Used by staffs of the Office of Long Term Care Standards and Enforcement to answer correspondence, to check on complaints, and to initiate corrective action as necessary. Statistical information submitted to SSA, Baltimore.

Safeguards: Authorized personnel only.

Retention and disposal: Retained two years or until complaint file closed, whichever is longer. Destroyed by shredding or incinerating.

System manager(s) and address: Director, OLTCSE at the address given under location.

Notification procedure: Same as above. Individual should contact Regional Office serving State in which nursing home about which a complaint was filed is located.

Record access procedures: Same as above.

Contesting record procedures: Same as above.

Record source categories: Letters from complainants, state agencies handling follow-up, staff investigative reports on nursing home.

09-90-0061

System name: Claims for Damage, Injury, or Death. HEW/RO3/ASD

Security classification: None.

System location:

Department of Health, Education, and Welfare
Regional III
Room 3300
3535 Market Street
Philadelphia, PA.. 19104

Categories of individuals covered by the system: Federal employees and non-Federally employed individuals submitting claims for financial remuneration due to damage, injury or death which are Government related.

Categories of records in the system: 1. Personal information about claimant: name, address, age, marital status, name and address of spouse, insurance coverage. 2. Data relative to incident generating claim: date, time and place of occurrence. Type of incident (property damage, personal injury). Name of witnesses and other information relating to the case.

Authority for maintenance of the system: E.O. 11807, 11654, P.L. 91-596, Section 19(a), Section 7902, Title 5 U.S.C.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To claimant's insurance representative and/or legal counsel. In accordance with Appendix B Departmental Regulations (45 CFR Part 5b) Item 1. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Records are maintained in file folders.

Retrievability: Records are indexed by the name of the individual claimant. Records may be accessed by Regional Claims Officer and Office of General Counsel.

Safeguards: Maintained in a locked metal cabinet.

Retention and disposal: Records are destroyed after a five (5) year retention period.

System manager(s) and address:

Regional Engineer
HEW/Region III
Room 5400, Gateway Bldg.
3535 Market Street
Philadelphia, PA. 19104

Notification procedure: For inquiries: system manager and address as above. Identification needed. For retrieval: name, relationship to claim/claimant.

Record access procedures: Contact System Manager.

Contesting record procedures: Contact System Manager.

Record source categories: Claimant, investigative reports and statement of witnesses.

Systems exempted from certain provisions of the act: None.

09-90-0062

System name: Administrative Claims. HEW/OS/OGC.

Security classification: None.

System location: See Appendix.

Categories of individuals covered by the system: HEW employees, recipients of Federal assistance under HEW funded programs, and members of the public who have a claim against HEW or against whom HEW has a claim -- Federal Torts Claims Act, Military Personnel and Civilian Employees Claims Act, Federal Claims Collection Act, Federal Medical Care Recovery Act, Act for Waiver of Overpayment of Pay.

Categories of records in the system: Information that is pertinent to the particular claim being asserted, including accident reports, hospital records, charges for medical services; certifications of overpayments, audits of payroll accounts during periods of overpayments, earning and leave statements; claims officers memorandum, final determinations made on claims, identity of debtors and information pertaining to how debts arose.

Authority for maintenance of the system: Federal Tort Claims Act, 28 U.S.C. 2671-2680, 1346(b); Waiver of Overpayment of Pay Act, 5 U.S.C. 5584; Military Personnel and Civilian Employees Claims Act, 31 U.S.C. 240 et seq.; Federal Claims Collection Act, 31 U.S.C. 951-953; Federal Medical Care Recovery Act, 42 U.S.C. 2651-2653.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine uses of these records are primarily for adjudicating claims between the U.S. and private parties. Records are used in communicating with, among others, Federal, State, and local law enforcement agencies, private individuals, private and public hospitals, allegedly negligent parties, private attorneys, insurance companies, the United States Attorney

and other Federal officials and agencies, individual law enforcement officers, and tribal officials. These communications are all for the purpose of investigating, settling, or litigating claims. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected. See also Appendix B, of Departmental Regulations, (45 CFR Part 5b), items: (1), (3), (4), (5), (8), (100).

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

Storage: Legal size files in filing cabinets.

Retrievability: Retrieved by name of the non-Government party, whether claimant, plaintiff, or alleged debtor. In some instances, these records are retrievable by cross reference to index cards, containing name of the party involved and the subject matter.

Safeguards: Office buildings in which files are kept are locked after the close of the business day. These files are only accessible to General Counsel staff.

Retention and disposal: The records are maintained for an indefinite duration.

System manager(s) and address: The agency official responsible for the system policies and practices outlined above is:

The General Counsel
Department of Health, Education, and Welfare
Office of the General Counsel
Room 722A, South Portal Building
200 Independence Avenue, S. W.
Washington, D. C. 20201

Notification procedure: Any inquiries regarding these systems of records should be addressed to the System Manager. An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: The information in this system comes from a number of sources including private individuals, private and public hospitals, doctors, law enforcement agencies and officials, private attorneys, accident reports, third parties, claimants or beneficiaries and their relatives, other Federal agencies, State and local governments, agencies and instrumentalities.

Appendix

Office of the General Counsel--Headquarters Offices.
Department of Health, Education, and Welfare
South Portal Building, Room 722A
200 Independence Avenue, S. W.
Washington, D. C. 20201

Office of the General Counsel
Regional Attorney - Region I
Department of Health, Education, and Welfare
John F. Kennedy Federal Building
Government Center
Boston, Massachusetts 02203

Office of the General Counsel
Regional Attorney - Region II
Department of Health, Education, and Welfare
Room 3914
26 Federal Plaza
New York, New York 10007

Office of the General Counsel
Regional Attorney - Region III
Department of Health, Education, and Welfare
P. O. Box 13716
Philadelphia, Pennsylvania 19104

Office of the General Counsel
Regional Attorney - Region IV
Department of Health, Education, and Welfare
Room 323 (Location); Room 131 (Mailing)
Peachtree Seventh Street, N. E.
Atlanta, Georgia 30323

Office of the General Counsel
Regional Attorney - Region V
Department of Health, Education, and Welfare
300 South Wacker Drive
18th Floor
Chicago, Illinois 60606

Office of the General Counsel
Regional Attorney - Region VI
Department of Health, Education, and Welfare
Room 1330
1200 Main Tower Building
Dallas, Texas 75202

Office of the General Counsel
Regional Attorney - Region VII
Department of Health, Education, and Welfare
Room 601
601 East 12th Street
Kansas City, Missouri 64106

Office of the General Counsel
Regional Attorney - Region VIII
Department of Health, Education, and Welfare
Room 11443
Federal Office Building
19th and Stout Streets
Denver, Colorado 80294

Office of the General Counsel
Regional Attorney - Region IX
Department of Health, Education, and Welfare
50 Fulton Street
San Francisco, California 94102

Office of the General Counsel
Regional Attorney - Region X
Department of Health, Education, and Welfare
MS 624 Arcade Plaza Building
1321 Second Avenue
Seattle, Washington 98101

09-90-0063

System name: OGC Directory. HEW-OS-OGC.

Security classification: None.

System location: See Appendix on the Administrative Claims system - 09900062.

Categories of individuals covered by the system: Current Employees in the Office of the General Counsel.

Categories of records in the system: The OGC Directory consists of the name, home address, and telephone number of attorneys and other employees in the immediate office of the General Counsel, the various divisions of the Office of the General Counsel, and the ten offices of Regional Attorney.

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

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

Storage: The Directory is maintained in a loose-leaf binder, categorized by division and region, and alphabetized by name.

Retrievability: Retrieved by name.

Safeguards: Office buildings in which the Directory is maintained are locked after the close of the business day. The Directory is only accessible to General Counsel staff.

Retention and disposal: The Directory is maintained indefinitely.

System manager(s) and address: The agency official responsible for the system policies and practices is:

The General Counsel
Department of Health, Education, and Welfare
Office of the General Counsel
South Portal Building, Room 722A
200 Independence Avenue, S.W.
Washington, D. C. 20201

Notification procedure: Any inquiries regarding this system of records should be addressed to the System Manager.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information in this system of records is obtained from the individual to whom it applies and personnel records.

09-90-0064

System name: Litigation Files, Administrative Complaints, and Adverse Personnel Actions. HEW/OS/OGC

Security classification: None.

System location: See Appendix on the Administrative Claims system, 09900062.

Categories of individuals covered by the system: The individuals on whom records are maintained in this system are individuals who are involved in litigation with the Department or the United States (regarding matters within the jurisdiction of the Department) either as plaintiffs or as defendants in both civil and criminal matters, and individuals who either file administrative complaints with the Department or are the subjects of administrative complaints initiated by the Department, except claims which are the subjects of records maintained in the Administrative Claims System, 09900062.

Categories of records in the system: These records contain information pertaining to the subject matter of the litigation, administrative complaint, or adverse personnel action. Such records would include complaints, litigation reports, administrative transcripts, various litigation documents, investigative materials, correspondence, briefs, court orders and judgments, and in cases where personnel injury is involved, principally malpractice cases, evaluations by physician specialists (Public Health Service, Armed Forces, Institute of Pathology).

Authority for maintenance of the system: The authority for maintaining this system are the various statutes, regulations, rules or orders pertaining to the subject matter of the litigation, administrative complaint or adverse personnel action, (e.g., Public Health service Act, Social Security Act, Civil Rights Act, Federal Food, Drug and Cosmetic Act).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected. See Appendix B, Departmental Regulations, (45 CFR Part 5b),items: (1), (3), (4), (5), (8), (100).

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

Storage: These records consist of legal size files stored in file cabinets.

Retrievability: These records are retrievable by name of the plaintiff or the first plaintiff if there is more than one, or by the name of the first defendant if the plaintiff is the United States. In the case of adverse personnel actions, records are retrievable by name of the individual involved.

Safeguards: Office buildings in which these records are maintained are locked after the close of the business day. These records are only accessible by General Counsel staff.

Retention and disposal: These records are maintained for an indefinite duration.

System manager(s) and address: The agency official responsible for the system policies and practices outlined above is:

The General Counsel
Department of Health, Education, and Welfare
Office of the General Counsel
South Portal Building, Room 722×
200 Independence Avenue, S. W.
Washington, D. C. 20201

Notification procedure: Any inquiries regarding these systems of records should be addressed to the System Manager. An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: The information for this system is obtained through a number of sources including the exchange of legal pleadings, documents, formal and informal discovery, program offices and component agencies, private attorneys, State and local governments, their agencies and instrumentalities, and officers of other Federal agencies and the individuals involved.

09-90-0065

System name: Conflict of Interest - Standards of Conduct Records. HEW/OS/OGC

Security classification: None.

System location: See Appendix on the Administrative Claims system -- 09900062.

Categories of individuals covered by the system: Information about current and past HEW employees who are or have been the subject of conflict of interest or standards of conduct inquiries or determinations.

Categories of records in the system: These records include information relating to acceptance or offer of gifts, entertainment and favors, outside employment; financial interests; use of government funds, property or official information; partisan political activity; or other matters relating to ethical standards of conduct.

Authority for maintenance of the system: 18 U.S.C. 202, 203, 205, 207, 208, 209; Executive Order 11222; and, 5 CFR 735.104, 45 CFR Part 73.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected. See Appendix B, Departmental Regulations (45 CFR Part 5b) items: (1), (3), (4), (5), (8), (100).

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

Storage: These records are kept in legal size files in filing cabinets.

Retrievability: These records are retrievable by name in most cases. In some instances, these records are retrievable by cross reference to index cards containing the name of the party involved and the subject matter.

Safeguards: These records are only accessible to General Counsel staff. Office buildings in which these records are maintained are locked after the close of the business day.

Retention and disposal: The records are maintained for an indefinite duration.

System manager(s) and address: The agency official responsible for the systems policies and practices outlined above is:

The General Counsel
Department of Health, Education, and Welfare
Office of the General Counsel
South Portal Building, Room 722A
200 Independence Ave., S.W.
Washington, D. C. 20201

Notification procedure: Any inquiries regarding these systems of records should be addressed to the System Manager.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: The information contained in this system comes from the individuals involved and from appropriate Department officials.

09-90-0066

System name: OGC-Attorney Applicant Files HEW-OS-OGC.

Security classification: None.

System location: See Appendix on the Administrative Claims System - 09900062

Categories of individuals covered by the system: Current Attorney Applicants for positions in the Office of the General Counsel.

Categories of records in the system: The Attorney Applicant system consists of a variety of records relating to persons applying for attorney positions. These records contain information about an individual's birth date; home address; telephone number; social security number; educationl background (e.g., law schools attended and grades); past work experience; writing samples furnished on request; recommendations from past employers and academic officials.

Authority for maintenance of the system: 5 U.S.C. 3301 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: These records are maintained in file folders, alphabetized by name, and in some cases the records are separated by individual law school affiliation and by the date the application is received. In some instances records are located in lockable conserva-file cabinets and in a locked secured room with access limited to those officials whose duties require access. In other instances records are maintained in file rooms or with other Office of the General Counsel files.

Retrievability: These records are retrievable by name.

Safeguards: Access is limited to those HEW officials whose duties require access.

Retention and disposal: These records are retained in a current system for one year, and in some instances two years, after which time they are discarded.

System manager(s) and address: The agency official responsible for the systems policies and practices outlined above is:

The General Counsel
Department of Health, Education, and Welfare
Office of the General Counsel
South Portal Building, Room 722A
200 Independence Avenue, S.W.
Washington, D. C. 20201

Notification procedure: Any inquiries regarding these systems of records should be addressed to the System Manager.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information in this system of records comes from the individual to whom it applies, law school officials and past employers.

09-90-0067

System name: Invention reports submitted to the Department of Health, Education, and Welfare by its employees, grantees, fellowship recipients, and contractors. HEW-OS-OGC.

Security classification: None.

System location:

Office of the General Counsel
Patent Branch
Westwood Building - Room 5A03
5333 Westbard Avenue
Bethesda, Maryland 20016

Categories of individuals covered by the system: Department employees, investigators funded under HEW research grants, fellowship awardees, investigators funded under HEW research contracts.

Categories of records in the system: Invention reports.

Authority for maintenance of the system: 45 CFR Parts 6-8.

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

Department of Justice Claims Section for purpose of defending the Government in ligitation.

Scientific personnel, both in this agency, and other Government agencies, and in non-Governmental organizations (such as Universities), who possess the expertise to understand the invention and evaluate its importance as a scientific advance.

Contract patent counsel and their employees and foreign contract personnel retained by the Department for patent searching and prosecution in both the United States and foreign Patent Offices.

All other Government agencies whom we contact regarding possible use, interest in, or ownership rights in our inventions.

Prospective licensees or technology finders who may further make the invention available to the public through sale, use or publication.

Parties, such as supervisors of inventors, whom we contact to determine ownership rights, and those parties contacting us to determine the Government's ownership.

The United States and foreign Patent Offices for our filing of patent applications. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: These records are kept in individual file folders.

Retrievability: Indexed by both inventor's name and case identification number.

Safeguards: During normal business hours a member of the staff of the Patent Section regulates the availability of the files. During evening and weekend hours, the building is closed, with a guard at the front entrance, and only personnel authorized to be in the building are permitted entry.

Retention and disposal: The records are maintained here for the life of any patent issued (seventeen years), for seven years for any invention which is not patented, and they are sent to the Federal Records Center for retention when they are no longer required here.

System manager(s) and address:

Patent Counsel
Department of Health, Education, and Welfare
Westwood Building - Room 5A03
5333 Westbard Avenue
Bethesda, Maryland 20016

Notification procedure: An individual is required to provide his own name together with that of any other individual who contributed to the making of an invention, on which the system contains a record. Any inquiries regarding these systems of records should be addressed to the System Manager.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: The information comes from the inventors, their supervisors, other scientists with expertise in the particular area of the invention, scientific publications, newspapers, contract patent counsel who have searched and/or prosecuted the invention, and commercial organizations.

09-90-0068

System name: Federal Private Relief Legislation. HEW/OS/OGC.

Security classification: None.

System location: This system is located in the:

Division of Legislation
Office of the General Counsel
Office of the Secretary
Room 427 D, South Portal Building
Department of Health, Education, and Welfare
200 Independence Ave., S.W.
Washington, D.C. 20201

Categories of individuals covered by the system: Private individuals, groups, or institutions for whom a United States Congressman or Senator has introduced a private relief bill.

Categories of records in the system: Background which gives rise to the individual's, group's, or institution's claim for private relief legislation.

Authority for maintenance of the system: 5 U.S.C. 301; OMB Circular A-19.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The information is used to prepare reports to the Congress, most commonly to the Judiciary Committees of the Senate and the House of Representatives, which reports are thereafter made available to the public under the provisions of 5 U.S.C. 552. In connection with the preparation of those reports, the information contained in this system of records will, as a routine use, be disclosed to officers and employees of 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 various stages of the legislative coordination and clearance process as set forth in that Circular, and may, as a routine use, be disclosed to officers or employees of agencies (as defined in 5 U.S.C. 551(i) and 552(e)) other than the agency that maintains the record. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Paper records in file folders kept in legal size filing cabinets.

Retrievability: By bill number using card systems maintained by name and by subject.

Safeguards: Immediate access to these records are only by authorized staff. Building is locked at close of business.

Retention and disposal: Retained indefinitely either at System Location or at Federal Record Center where files are sent on a regular, predetermined schedule.

System manager(s) and address:

Chief, Legislative Reference and Control Service
Division of Legislation
Office of the General Counsel
Department of Health, Education, and Welfare
Room 427 D, South Portal Building
200 Independence Avenue, S.W.

Washington, D. C. 20201

Notification procedure: Any inquiries regarding the records in question should be made to the System Manager.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: The information in this system comes from the principal operating components of the Department, the Public Health Service Agencies, the Education Agencies, the Office of the Secretary, Congressional Committees, individual Congressmen and Senators, and, in some cases, the subject individual, group, or institution.

Systems exempted from certain provisions of the act: None.

09-90-0069

System name: Unfair Labor Practice Records. HEW/OS/ASPER/PT.

Security classification: None.

System location: Personnel Offices of the Department shown in Applicants for Employment Records, HEW System 09900006, Appendix 1 and offices of operating officials in organizational units serviced by those Personnel Offices.

Categories of individuals covered by the system: Current HEW employees and union officials.

Categories of records in the system: This system of records consists of a variety of records relating to an unfair labor practice charge. Examples of information which may be included in this system are the employee's name, Social Security Number, grade, job title, employment history and a variety of work and personnel records associated with the charges and required under proceedings established by Executive Order 11491 and Department of Labor Regulations.

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 in this system may be released to:

1. The Department of Labor.
2. In accordance with Items 1,3,4,5,6,7,8,9 of Departmental Regulations, (45 CFR Part 5b), Appendix B.
3. The Federal Labor Relations Council.
4. To the Civil Service Commission in carrying out its functions under Executive Order 11491.
5. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
6. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Records are maintained in file folders.

Retrievability: Records are retrievable by name. They are used to make a determination on and to document a decision made on an unfair labor practice charge filed by an employee or union official. Information from this system may be used by Department officials for preparing statistical summary or management reports.

Safeguards: When not in use by authorized persons, these records are stored in lockable metal file cabinets. Access to and use of these records are limited to personnel who have a need for the records in performance of official duties.

Retention and disposal: The case files are maintained as long as they may be pertinent for purposes of precedent or as management information devices. When no longer useful for such purposes, they are destroyed.

System manager(s) and address: Personnel Officer shown in Appendix 1 of Applicants for Employment Records, HEW System 09900006, who services the organizational unit in which the individual is employed.

Notification procedure: Contact the systems manager and provide name, approximate date of record, the unfair labor practice charge as specified by the complainant, and management component in which the charge was filed.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information in this system of records is:

1. Supplied directly by the individual, or
2. Derived from information supplied by the individual, or
3. Supplied by testimony of witnesses, or
4. Supplied by union officials, or
5. Supplied by Department officials.

Systems exempted from certain provisions of the act: None.

09-90-0070

System name: Motor Vehicle Accident Reports - HEW/OS/OGC.

Security classification: None.

System location:

Office of the Regional Attorney
Department of Health, Education, and Welfare
19th and Stout Streets
Denver, Colorado 80294

Categories of individuals covered by the system: Individuals involved in automobile accidents concerning Federal motor vehicles or while on Federal business; this includes both Federal and non-Federal employees.

Categories of records in the system: The information in this record relates to the circumstances of the accident.

Authority for maintenance of the system: 44 U.S.C. Section 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine uses include requests to law enforcement agencies and officers for accident reports, to public or private hospitals, to private attorneys and insurance companies, to private citizens involved in the accident, to other Federal agencies, to State and local governments, their agencies and instrumentalities, all for purposes incident to resolution of responsibility for the accident. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: These records are kept in legal size files in filing cabinets.

Retrievability: Retrievable by name. Records are used to determine the appropriate cause of action in ascertaining the responsibility and liability for the accident in question.

Safeguards: Offices in which these files are kept are locked after the close of the business day.

Retention and disposal: Retained indefinitely at system location or at Federal Records Center where files are sent on a regular predetermined schedule.

System manager(s) and address: The agency official responsible for the system policies and practices outlined above is:

Regional Attorney
Department of HEW
19th and Stout Streets
Denver, Colorado 80294

Notification procedure: Any inquiries regarding the records in question should be made at the above address where the records are kept. Required identifying information will be in keeping with Department requirements.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Federal Motor Vehicle Accident Reports, accident reports from law enforcement agencies and officers, hospital and insurance company reports, statements from employees and private parties.

Systems exempted from certain provisions of the act: None.

09-90-0071

System name: Social Security Code Cards. HEW/OS/OGC.

Security classification: None.

System location:

Office of the Regional Attorney
Department of Health, Education, and Welfare
19th and Stout Streets
Denver, Colorado 80294

Categories of individuals covered by the system: Individuals referred to in this system are Social Security claimants or wage-earners who have been the subject of Social Security precedent opinions.

Categories of records in the system: The information in this system consists of the name of the individual on a 3 x 5 card and a code which cross-references to the location of the actual opinion. These cards are separate and distinct from the digest cards which are distributed nationally by the Office of the General Counsel.

Authority for maintenance of the system: 44 U.S.C. Section 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: The subject information is kept on 3 x 5 cards which are kept in an office locked after the close of the business day. The opinions which are cross-referenced by the cards are kept in the files in the same office.

Retrievability: Retrievable by name. These cards are used to enable the researcher to obtain the appropriate social security precedent opinion which may then be cited in subsequent opinions distributed within OGC and SSA.

Safeguards: Office locked at the close of the business day.

Retention and disposal: Retained indefinitely at system location or at Federal Records Center where files are sent on a regular predetermined schedule.

System manager(s) and address: The agency official responsible for the system policies and practices outlined above is:

Regional Attorney
Department of HEW
19th and Stout Streets
Denver, Colorado 80294

Notification procedure: Any inquiries regarding the records in question should be made at the above address where the records are kept. Required identifying information will be in keeping with Departmental requirements.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: The information on the cards is gleaned from precedent opinions nationwide as well as those issued from Region VIII.

Systems exempted from certain provisions of the act: None.

09-90-0072

System name: Congressional Grants Notification Unit. HEW/OS/ASL

Security classification: None.

System location:

Room 435G South Portal Bldg. Building
200 Independence Avenue, S.W.
Washington, D.C. 20201

Categories of individuals covered by the system: Members of Congress.

Categories of records in the system: Notification form of grants or contract awards made by HEW. The form contains the name and address of the project director, the purpose of the grant or contract, and the HEW program involved.

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:

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

Storage: Paper files are maintained in standard file cabinets.

Retrievability: Files are indexed by State Congressional Districts with the name of the Congressional Representative of that District on the file.

Safeguards: These records are public information and available on request.

Retention and disposal: Grant notification files are discarded after two calendar years.

System manager(s) and address:

Director, Congressional Liaison
Office of the Assistant Secretary for Legislation
Room 435G South Portal Bldg. Building
200 Independence Avenue, S.W.
Washington, D.C. 20201

Notification procedure: Same as above. The Congressional District or name of the Congressional Representative of that district and the approximate date of the award must be provided.

Record access procedures: Address same as above.

Contesting record procedures: Address same as above.

Record source categories: Agencies within the Department making the grant/contract awards.

Systems exempted from certain provisions of the act: None.

09-90-0074

System name: Federal Parent Locator System. HEW OCSE.

Security classification: None.

System location:

Office of Child Support Enforcement
Department of Health, Education, and Welfare
330 C. Street, S.W.
Washington, D.C. 20201

Categories of individuals covered by the system: Records are maintained on parents being sought for the purpose of establishing or enforcing support obligations against such a parent.

Categories of records in the system: Name of Absent Parent, Social Security Number (when available), date of birth, place of birth, mother's maiden name, father's full name, State case identification number, local identification number (State use only), State originating request, date of origination, type of case (AFDC, non-AFDC full service, non-AFDC locate only), type of military service (Army, Navy, Marines, Air Force, Coast Guard, not in service), retired military (yes or no), Veteran's Benefits (yesor no), recent employer's address, known alias (last name only), date requests sent to Federal departments (SSA, IRS, DOD, NPRC), date of Federal departments' responses, and indication of the type of information received; such as last home or employer address was returned, and/or a Social Security Number was returned from the Social Security Administration, or no address information was returned. The actual information returned pursuant to a requis retained in a separate file long enough to communicate that information to the State. (See Retention and Disposal section below).

Authority for maintenance of the system: Public Law 93-647.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The Federal Parent Locator Service will use the records maintained in the system to: (1)Request the most recent home address and/or place of employment from any department, agency, or instrumentality of the Federal government or State which might have such records in its files; (2)Provide the most recent home address, most recent place of employment, and Social Security Number to the appropriate IV-D agency for its use in locating absent parents to establish or enforce a child support obligation.

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

Storage: PLS records are maintained on disk and magnetic tape, and hard copy. The record is defined as a request for address information.

Retrievability: System records can be accessed by either a State assigned case identification number or Social Security Number.

Safeguards: All requests must be certified by the State IV-D Agency such that: (1) they are being made to locate an absent parent for the purpose of establishing paternity or securing child support and for no other purpose; (2) the State IV-D agency has made diligent and reasonable efforts to find the absent parent and cannot locate the person. (See 45 CFR 303.3); (3) the State IV-D agency has in effect protective measures to safeguard the personal information being transferred and received from the Federal Parent Locator Service; and (4) the State IV-D agency will use or disclose this information for the purposes prescribed in 45 CFR 302.18. All personnel, Federal employees and contractor, are required to take a non-disclosure of information oath. All input documents will be inventoried and accounted for. All inputs and outputs will be stored in a locked receptacle in a locked room. All outputs will be labeled 'For Official Use Only' and treated accordingly. Operations control will be vested under a single system manager. Every State using the system will be verified via three levels of user ID's. All data files will be protected by unique passwords and security codes. Remote users have 'write only' system access capabilities. They cannot read any master file or perform any other function on the system. The system complies with the security measures in IPS PUB 3 and has been reviewed by the HEW ADP Systems Security TAsk Force.

Retention and disposal: Records of address information provided in response to requests from IV-D agencies are maintained only long enough to communicate them to the State. After this time they are destroyed. A record of the request only which includes information provided by the State, Federal agencies contacted, and an indication of the type of information so returned is stored on a history tape and hardcopy. All history data will be retained for five years.

System manager(s) and address:

Director, Parent Locator Service Division
Office of Child Support Enforcement
Department of Health, Education, and Welfare
330 C. Street, S.W.
Washington, D.C. 20201

Notification procedure: Contact the system manager in writing at the above address and provide your name and address. Additional information, such as your Social Security Number, date of birth or mother's maiden name, may be requested by the system manager in order to distinguish between individuals having the same or similar names.

Record access procedures: Same as above.

Contesting record procedures: Individuals that feel the information provided through the above procedures is inaccurate should inform the Federal Parent Locator Service at the address listed for Notification Procedures. The Federal Parent Locator Service will acknowledge this request within ten (10) work days and indicate one of the following: a) the error has been corrected; b) the State child support agency that submitted the original information; c) other steps the individual must follow to correct the inaccuracy.

Record source categories: Information is obtained form departments, agencies, or instrumentalities of the United States or of any State.

Systems exempted from certain provisions of the act: None.

09-90-0075

System name: MBTA Prepaid Pass Program Participants. Hew-RO1-ARD.

Security classification: None.

System location:

HEW, Office of ARD for Administration and Management
Room 1503, JFK Federal Building
Boston, Massachusetts 02203

Categories of individuals covered by the system: Any HEW employee who is participating in the MBTA Pass Program.

Categories of records in the system: Name, Department, SSN, Credit Union Account Number, Type of Plan, Sex, Signature of Employee, and Pass Number.

Authority for maintenance of the system: Executive Order 011491.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Used as basis of requesting MBTA Pass and as a control of Pass numbers in case of replacement by Massachusetts Bay Transportation Authority, Forrest Hills Station, Boston, Massachusetts. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Storage--3x5 cards in file box.

Retrievability: Retrievability--By name.

Safeguards: Safeguards--Office doors locked during non-working hours.

Retention and disposal: Retentioon and Disposal--Kept as long as employee is a participant in the Program. Cancellation cards are kept for six months after month cancelled; then destroyed.

System manager(s) and address:

Secretary to ARD for Administration and Management
HEW, Room 1503, JFK Federal Building
Boston, Massachusetts 02203

Notification procedure: Address: Same as above. Identifying Information: Name, Social Security Number (on a purely voluntary basis).

Record access procedures: Same as above.

Contesting record procedures: Same as above.

Record source categories: Supplied by employee.

Systems exempted from certain provisions of the act: None.

09-90-0076

System name: Persons Authorized to Represent a State Agency in Acquisition, Maintenance, and Donation of Surplus Property. HEW-RO9.

Security classification: None.

System location:

112 McAllister Street
Room 2
San Francisco, CA 94102

Categories of individuals covered by the system: Persons who have been delegated by the appropriate State Agency to act for the agency in locating, inspecting and reporting on surplus property usable and needed for health, educational, or civil defense purposes and other duties in connection with screening, pick up, or shipment of such surplus personal property as may be appropriate.

Categories of records in the system: Name of individuals, Agency represented, job title, physical description (age, height, weight, color eyes, color hair), social security number.

Authority for maintenance of the system: The Federal Property and Administrative Services Act of 1949, Public Law 152, 81st Congress.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: A current list of persons who are authorized to represent a State Agency in the acquisition, maintenance, and donation of available Federal surplus personal property is disclosed to prospective users and donors of the surplus property. List includes physical descriptors. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: The records are maintained in hard copy filed in standard file cabinet.

Retrievability: Records are maintained by State and within state alphabetically by representatives name. Records are retrieved directly by the name of the individual. Used to compile current list of persons authorized to represent State Agencies in acquisition, maintenance, and donation of available Federal surplus personal property.

Safeguards: Access is restricted to authorized OFPA staff.

Retention and disposal: Records are maintained for the duration of the individual's authority to act. When an individuals authority is revoked records are moved to inactive portion of file.

System manager(s) and address:

Director, OFPA
112 McAllister Street, Room 2
San Francisco, CA 94102

Notification procedure: Systems manager for all types of inquiries. Address is same as above.

Record access procedures: Same as above.

Contesting record procedures: Same as above.

Record source categories: Supplied by Head of State Agency who delegates individuals to act for the Agency.

Systems exempted from certain provisions of the act: None.

09-90-0077

System name: Placement and Career Development Service Program for Indo-Chinese Refugees, Jewish Federation of Metropolitan Chicago (Contractor).

Security classification: None.

System location:

Jewish Federation of Metropolitan Chicago
One South Franklin Street
Chicago, Illinois 60606
See Appendix A for location of subcontracting agencies.

Categories of individuals covered by the system: Indo-Chinese refugees applying for, and/or receiving public assistance or otherwise manifesting signs of economic insufficiency in the Chicago Metropolitan area.

Categories of records in the system: Employment history and associated social, medical and economic information.

Authority for maintenance of the system: 5U.S.C. 3109.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: 45 CFR 5b, Appendix B, (1), (2), (3), (4), (5), (6), (8), (101), (102), and (103). Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Routine uses for disclosure of information kept in the records may be directed to : (a)Illinois Department of Public Aid, in regard to information which would affect the alien's present or future eligibility for public assistance; (b)Prospective employees and/or employment agencies for the purpose of enabling clients to obtain employment; (c)Vocational traing or education programs to increase the alien's employability; (d)Other professional boards , associaations, private agencies or government departments directly related to increasing the client's chances to obtain employment; (e)Participating subcontractors which have joint responsibilities for assessing clients by making appropriate referrals for casework services and career counseling; (f)All members and participants taking part in the program Steering Committee, including the contractor and subcontractors and concerned Federal, State and Local government agencies, i.e., Department of Health, Education, and Welfare, Illinois Department of Public Aid, Governor's Resettlement Office, etc.; (g)National voluntary resettlement agencies participating on the Steering Committee. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Records are maintained on magnetic tape and on computer discs, printouts, in file cabinets, file folders, and recording forms.

Retrievability: The purpose of this system is to evaluate the need and suitability of the refugee for employment and/or vocational training. A continuing record of activities, including referrals and placements, is needed. Records may be retrieved by name or identification number.

Safeguards: Offices are either locked after office hours or have security guard service. In addition, depending on location, file cabinets and other storage facilities are locked when not in use.

Retention and disposal: Records are retained for five years after closing, after which paper records are shredded and computer tapes erased.

System manager(s) and address:

Government Project Officer
Department of Health, Education, and Welfare, Region V
300 South Wacker Drive, 35th Floor
Chicago, Illinois 60606

Notification procedure: Same address as above. Identifying information should include the name of the person inquired about and the alien indentification number.

Record access procedures: Address and identifying information same as above.

Contesting record procedures: Same as notification procedure.

Record source categories: Information obtained from client interviews, vocational testing, employer records, medical and social reports from hospitals and other social agencies and information received from Federal, State and Local government agencies, i.e., Illinois Department of Public Aid, U.S. Office of Immigration and Naturalization, etc.

Systems exempted from certain provisions of the act: None.

Appendix A

Subcontractors--Name and Address

Lutheran Child and Family Services
7620 Madison Street
River Forest, ILLinois 60305

Catholic Charities of Chicago
645 W. Randolph Street
Chicago, Illinois 60606

Travelers Aid of Metropolitan Chicago
4753 North Broadway
Chicago, Illinois 60640

Jewish Family and Community Service
One South Franklin Street
Chicago, Illinois 60606

Jewish Vocational Service
One South Franklin Street
Chicago, Illinois 60606 /*

09-80-0001

System name: Manpower Resources Contractual Services for Reviewing and Evaluating ORD-MR Projects HEW OHD AOA ORD.

Security classification: None.

System location:

Room 3139 Donohoe Building
400 - 6th Street, S.W.
Washington, D.C. 20201

Categories of individuals covered by the system: Professionals with expertise who review and evaluate research, demonstrations and training proposals.

Categories of records in the system: Name, address, and professional background of individual.

Authority for maintenance of the system: Older Americans Act, 1965, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: The records are maintained in paper folders in standard file cabinets.

Retrievability: Indexed by name, used by ORDMR staff to select reviews. Folders are available to Division Chiefs responsible for setting up review panels.

Safeguards: Direct access is restricted to authorized ORDMR staff, records are kept in locked file cabinets.

Retention and disposal: The list will be reviewed periodically, prior to establishing review periods. Persons not used will be deleted from files.

System manager(s) and address:

Director, ORDMR Office
Room 3139, Donohoe Building
400 - 6th Street, S.W.
Washington, D.C. 20201

Notification procedure: Same as above.

Record access procedures: Same as above.

Contesting record procedures: Same as above.

Record source categories: The individual and/or professional directories.

Systems exempted from certain provisions of the act: None.

09-80-0002

System name: Developmental Disabilites Complaints and Correspondence Files HEW OHD DDO RO7.

Security classification: None.

System location:

Room 564
601 East 12th Street
Kansas City, Missouri 64106

Categories of individuals covered by the system: Individuals who have made inquiries regarding complaints or requested information regarding services from Developmental Disabilities program; and those who have commented to the Department on its proposed rules and practices.

Categories of records in the system: Name and address of individuals submitting correspondence, responses and exchanges of material associated with investigations of complaints or relaying information to appropriate State or local Developmental Disabilities agencies.

Authority for maintenance of the system: Developmental Disabilities Services and Construction Act (P.L. 91-517).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To members of Congress who inquire on behalf of a constitutent; to a State or local agency or institution against which a complaint has been made; See Departmental Regulations, (45 CFR Part 5b) Appendix B Items 1,8. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: The records are maintained in hard-copy filed in standard file cabinets.

Retrievability: For the most part records are indexed according to State and within each State by alphabetical name of inquirer. Records are available to DDA staff involved in correspondence and investigative processes, including members of the Office of General Counsel. Occasionally, personnel with special expertise in other programmatic areas or responsible persons at State or local agencies may be given records for the purpose of assisting DDA staff in resolution of issues.

Safeguards: Direct access is restricted to authorized DDA staff; access to room in which file cabinets are maintained is limited during non-working hours to those with keys to room.

Retention and disposal: Inquiry records are maintained three years; complaint and investigative records are maintained five years past date of case closing.

System manager(s) and address:

Director, Developmental Disabilities Office
601 East 12th Street, 5th Floor
Kansas City, Missouri 64106

Notification procedure: System manager; for general inquiries, name and date of previous correspondence, if known; for complaint/investigative material, name and any I.D. number assigned. Address is same as above.

Record access procedures: Same as above.

Contesting record procedures: Same as above.

Department	Billing Code
National Institute of Education	4110-39
National Mediation Board	7550-01
National Labor Relations Board	7545-01
National Science Foundation:	
Administration	7555-01
OSTP	7555-02
Navy Department:	
DCPA U 8	3810-01
OSD SD-0859	3810-70
Navy: Judge Advocate General	3810-71
Nuclear Regulatory Commission	7590-01
Occupational Safety and Health Review Commission	7600-01
Overseas Private Investment Corporation	3210-01
Panama Canal Company	3640-01
Pennsylvania Avenue Development Corporation	7630-01
Pension Benefit Guaranty Corporation	7708-01
Postal Rate Commission	
Postal Service	7710-12
Railroad Retirement Board	7905-01
Renegotiation Board	7910-01
Securities and Exchange Commission	8010-01
Selective Service System	8015-01
Small Business Administration	8025-01
Smithsonian Institution	8030-01
State Department	4710-01
Susquehanna River Basin Commission	7040-01
Technical Assessment, Office of	1630-01
Telecommunications Policy Office	3160-01
Tennessee Valley Authority	8120-01
Transportation Department:	
Office of Secretary	4910-01
Federal Railroad Administration	4910-06
Federal Aviation Administration	4910-13
Coast Guard	4910-14
Federal Highway Administration	4910-22
Urban Mass Transportation Administration	4910-57
National Transportation Safety Board	4910-58
National Highway Traffic Safety Administration	4910-59
Materials Transportation Board	4910-60
St. Lawrence Seaway Development Corporation	4910-61
Treasury Department:	
Customs Service	4810-22
Administrative Programs	4810-25
Revenue Sharing	4810-28
Alcohol, Tobacco and Firearms	4810-31
Federal Law Enforcement Training Center	4810-32
Comptroller of the Currency	4810-33
Engraving and Printing	4810-34
Government Finance Operations	4810-35
Mint, Bureau	4810-37
Public Debt	4810-40
Secret Service	4810-42
Internal Revenue Service	4830-01
U.S. Information Agency	8230-01
Veterans Administration	8320-01
Water Resources Council	8410-01
White House Office	3195-01

If your agency's name does not appear above, GPO may not have received your printing and binding requisition (Standard Form 1). Your documents can not be printed in the FEDERAL REGISTER without a billing code.

INFORMATION AND ASSISTANCE: Mr. William Rose, 202-275-2867.

NEW BILLING PROCEDURES FOR AGENCIES

As part of the new billing procedures announced in the FEDERAL REGISTER of August 24, 1977, and to insure that each agency is correctly billed for only its own documents, the Office of the Federal Register requests agencies to insert the proper billing code on all of their documents. The six-digit billing code should be typed or handwritten in ink at the top of the first page on all three copies of documents submitted to the Office of the Federal Register for publication, as follows:

BILLING CODE: 0000–00

The list of agency billing codes assigned by the Government Printing Office follows:

Department	*Billing Code*
Action	6050–01
Administrative Conference of the United States	6110–01
Agency for International Development	4710–02
Agriculture Department:	
Agricultural Marketing Service	3410–02
Agricultural Research Service	3410–03
Agricultural Stabilization and Conservation Service	3410–05
Farmer Cooperative Service	3410–06
Farmer's Home Administration	3410–07
Federal Crop Insurance Corporation	3410–08
Extension Service	3410–09
Forest Service	3410–11
Rural Electrification Administration	3410–15
Soil Conservation Service	3410–16
Economic Research Service	3410–18
Statistical Reporting Service	3410–20
Cooperative State Research Service	3410–22
Food and Nutrition Service	3410–30
Rural Development Service	3410–32
Animal and Plan Health Inspection Service	3410–34
Economic Management Support Center	3410–35
Food Safety and Quality Service	3410–37
WFAO	3410–38
Office of Management and Finance	3410–90
Office of Automated Data Systems	3410–94
Office of Personnel	3410–96
Office of Operations	3410–98
Air Force Department	3910–01
American Battle Monuments Commission	6120–01
Arms Control and Disarmament Agency	6820–32
Army Adjutant General Center	3710–08
Defense Command	3710–04
Chief of Engineers/Civil Works	3710–92
Blind and Other Severely Handicapped Committee	6820–12
Civil Aeronautics Board	6320–01
Civil Rights Commission	6325–01
Civil Service Commission	6325–01
Commerce Department:	
Maritime Administration	3510–03
National Technical Information Service	3510–04
Bureau of Economic Analysis	3510–06
Census Bureau	3510–07
U.S. Travel Service	3510–11
National Oceanic and Atmospheric Administration	3510–12
Standards, National Bureau	3510–13
Patents and Trademark Office	3510–16
Office of Secretary	3510–17
Office of Secretary	3510–18
Office of Secretary	3510–19
Economic Development Administration	3510–24
Domestic and International Business Administration	3510–25
National Fire-Prevention and Control Administration	3510–49
Telecommunications Office	3510–60
Commodity Futures Trading Commission	6351–01
Community Services Administration	6315–01
Consumer Product Safety Commission	6355–01
Cost Accounting Standards Board	1610–01
Defense Logistics Agency	3620–01
Energy Research and Development Administration	6170–01
Environmental Protection Agency	6560–01
Environmental Quality Council	3125–01
Equal Employment Opportunity Commission	6570–06
Export-Import Bank of the United States	6690–01
Farm Credit Administration	6705–01
Federal Communications Commission	6712–01
Federal Deposit Insurance Corporation	6714–01
Federal Election Commission	6715–01
Federal Energy Administration	3128–01
Federal Home Loan Bank Board	6720–01
Federal Maritime Commission	6730–01
Federal Mediation and Conciliation Service	6732–01
Federal Power Commission	6740–02
Federal Reserve System/Board of Governors	6210–01
Federal Trade Commission	6750–01
Fine Arts Commission	6330–01
Foreign Claims Settlement Commission	6770–01
General Services Administration:	
OAD	6820–14
Administrative Management Division, Public Buildings Service	6820–22
Public Buildings Service	6820–23
Federal Supply Service	6820–24
Automated Data and Telecommunications Service	6820–25
NAA	6820–26
NARS	6820–27
Office of Stockpile Disposal, Federal Preparedness Agency	6820–28
Executive Director, Federal Preparedness Agency	6820–29
Office of Personnel	6820–30
Government Printing Office	1505–01
Health, Education and Welfare Department:	
Office of Education	4110–02
Food and Drug Administration	4110–03
National Institutes of Health	4110–08
Health Resources Administration	4110–83
Health Services Administration	4110–84
Office of Assistant Secretary for Health	4110–85
Center for Disease Control	4110–86
CSC–NIOSH	4110–87
Alcohol, Drug Abuse and Mental Health Administration	4110–88
Social Security Administration	4110–07
Housing and Urban Development Department	4210–01
Indian Claims Commission	7030–01
Interior Department:	
Office of Secretary	4310–10
Indian Affairs Bureau	4310–02
Outdor Recreation Bureau	4310–03
Surface Mining, Office of	4310–05
Reclamation Bureau	4310–09
Bonneville Power Administration	4310–11
Solicitor	4310–17
Geological Survey	4310–31
Mines Bureau	4310–53
Fish and Wildlife Service	4310–55
National Park Service	4310–70
Land Management Bureau	4310–84
Water Research and Technology Office	4310–49
Mine Enforcement and Safety Administration	4310–68
International Broadcasting, Board for	6155–01
International Trade Commission	7020–02
Interstate Commerce Commission	7035–01
Justice Department	4410–01
Labor Department:	
Employment and Training Administration	4510–01
Secretary (Administrative Law Judges)	4510–20
Secretary(Audit and Investment)	4510–21
Secretary (Office of Information)	4510–22
Secretary	4510–23
Labor Statistics	4510–24
OSHA (Standards)	4510–26
Employment Standards Administration	4510–27
International Labor Affairs Bureau	4510–28
Labor–Management Service Administration	4510–19
Libraries and Information Science, National Commission	7527–01
Management and Budget Office	3110–01
Marine Mammal Commission	6820–31
National Capital Planning Commission	7515–01
National Credit Union Administration	7535–01

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federal register

BOOK 2 OF 2 BOOKS
THURSDAY, SEPTEMBER 29, 1977
PART X



PRIVACY ACT ISSUANCES, ANNUAL PUBLICATION

Department/ Agency	FR Page Numbers: Systems of Records	Rules
Health, Education and Welfare Department	51922	52348

Record source categories: Incoming correspondence, responses and material obtained during course of any investigation, individuals themselves.

Systems exempted from certain provisions of the act: None.

09-80-0003

System name: OCD Project Staff Lists HEW-OHD-CCD-IX

Security classification: None.

System location:

Room 113, Federal Office Building
50 Fulton Street
San Francisco, Calif. 94102
and at Regional Federal Records Centers

Categories of individuals covered by the system: Directors and staff of Child Abuse and Neglect, Handicapped Cluster Head Start, Head Start, Head Start Supplementary Training, and Home Start programs and Parent Child Centers, and State Regional Training Offices in Region IX.

Categories of records in the system: Name, business address, business telephone number, biographies, employees with salaries above certain level.

Authority for maintenance of the system: Community Services Act of 1974 (42 USC 2701).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The files are routinely used externally in handling inquiries from members of Congress; used in handling inquiries from other federal agencies; used as a resource by consultants contracted by OCD; used in handling inquiries from general public. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Records are maintained in folders in standard legal-sized file cabinets.

Retrievability: The files are indexed alphabetically. Records are available to OCD staff involved in correspondence and funding processes, including staff members with HEW, i.e.: General Counsel.

Safeguards: Direct access is restricted to OHD personnel; access to room in which file cabinets are maintained is limited during non-working hours to those with keys to room.

Retention and disposal: Files are maintained three fiscal years and are removed to the Federal Records Disposal Center thereafter.

System manager(s) and address:

Director, OCD, Region IX
Room 117
50 Fulton Street
San Francisco, CA 94102

Notification procedure: System Manager; upon written, telephone, or personal request, the public may make appointments to view requested data.

Record access procedures: See above.

Contesting record procedures: See above.

Record source categories: Incoming correspondence, responses, and materials obtained during course of program, Individuals themselves.

Systems exempted from certain provisions of the act: None.

09-80-0004

System name: Parent Council Advisory Members HEW-OHD-OCD-IX-2

Security classification: None.

System location:

Room 113, Federal Office Building
50 Fulton Street
San Francisco, CA 94102

Categories of individuals covered by the system: Directors, Consultants, Staff, Board & Committee Members.

Categories of records in the system: Name, Business & Home Address, Business & Home Telephone Numbers, Title, Biographies, Employees with salaries above certain level.

Authority for maintenance of the system: Community Services Act of 1974 (42 USC 2701).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The files are routinely used externally in handling inquiries from members of Congress; used in handling inquiries from other federal agencies; used as a resource by consultants contacted by OCD; used in handling inquiries from general public and Parent Council Advisory grantees. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Records are maintained in folders in standard legal-size file cabinets.

Retrievability: The files are indexed alphabetically. Records are available to OCD staff involved in correspondence and funding processes, including staff members within HEW, i.e.: General Counsel.

Safeguards: Director access is restricted to OHD personnel; access to room in whic file cabinets are maintained is limited during non-working hours to those with keys to room.

Retention and disposal: Files are maintained three fiscal years and are removed to the Federal Records Disposal Center thereafter.

System manager(s) and address:

Director, OCD, Region IX
Room 117
50 Fulton Street
San Francisco, CA 94102

Notification procedure: System manager; upon written telephone, or personnel request, the public may make appointments to view requested data.

Record access procedures: See above.

Contesting record procedures: See above.

Record source categories: Incoming correspondence, responses, and materials obtained during course of Parent Council Advisory programs, individuals themselves.

Systems exempted from certain provisions of the act: None.

09-80-0005

System name: Education for Parenthood Mailing List. HEW OHD OCD CB.

Security classification: None.

System location:

Room 5155
400 - 6th Street, S.W.
Washington, D.C. 20201

Categories of individuals covered by the system: Individuals interested in the Education for Parenthood programs.

Categories of records in the system: Names, title, addresses.

Authority for maintenance of the system: 42 USC 626.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or neces-

sary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Addressograph plates, paper files.

Retrievability: Indexed alphabetically.

Safeguards: Available only to authorized persons.

Retention and disposal: Names kept on file indefinitely. May be removed by request.

System manager(s) and address:

Program Planning Specialist
Room 5155
400 - 6th Street, S.W.
Washington, D.C. 20201

Notification procedure: Same as above; written requests only.

Record access procedures: Same as above.

Contesting record procedures: Same as above.

Record source categories: Grant files, letters, telephone calls, individuals themselves.

Systems exempted from certain provisions of the act: None.

09-80-0006

System name: National Center on Child Abuse and Neglect Mailing list. HEW OHD OCD CB.

Security classification: None.

System location:

Room 5863
400 - 6th Street, S.W.
Washington, D. C. 20201

Categories of individuals covered by the system: Persons interested in the National Centers publications, interested in making grant applications, project directors, social workers and others interested in information on child abuse and neglect.

Categories of records in the system: Names, titles, addresses.

Authority for maintenance of the system: PL 93-247, The Child Abuse Prevention and Treatment Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Addressograph plates, paper files.

Retrievability: Indexed alphabetically. Various categories of institutions, agencies, organizations are cross-indexed.

Safeguards: Available only to authorized personnel.

Retention and disposal: Names are kept indefinitely; may be removed on request.

System manager(s) and address:

Administrative Assistant
Room 5564
400 - 6th Street, S.W.
Washington, D.C.

Notification procedure: See above; written requests only.

Record access procedures: See above.

Contesting record procedures: See above.

Record source categories: Grant applications, letters, telephone calls, other OCD mailing lists, individuals themselves.

Systems exempted from certain provisions of the act: None.

09-80-0007

System name: National Center for Child Advocacy Mailing list. HEW OHD OCD CB.

Security classification: None.

System location:

Room 5819
400 - 6th Street, S.W.
Washington, D. C. 20201

Categories of individuals covered by the system: Persons interested in Child Advocacy activities including social workers, foster parents, juvenile court judges, Community Coordinated Child Care program directors, various Federal staff and members of the general public who have requested information.

Categories of records in the system: Names, titles, addresses.

Authority for maintenance of the system: Childrens' Bureau Act of 1912.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Addressograph plate, paper file.

Retrievability: Indexed alphabetically cross-indexed by area of subject interest.

Safeguards: Available only to authorized personnel.

Retention and disposal: Names kept on file indefinitely; may be removed on request.

System manager(s) and address:

Chief, NCCA
Room 5819
400 - 6th Street, S.W.
Washington, D. C. 20201

Notification procedure: See above; written requests only.

Record access procedures: See above.

Contesting record procedures: See above.

Record source categories: Other OCD mailing lists grant applications, letters, telephone calls, individuals themselves.

09-80-0008

System name: OCD Research and Development Program Mailing Lists. HEW OHD OCD R&E.

Security classification: None.

System location:

Room 5524
400 - 6th Street, S.W.
Washington, D. C. 20201

Categories of individuals covered by the system: Persons interested in OCD Research and Demonstration program or in applying for research or demonstration programs, project directors of funded programs, university and research organization staff.

Categories of records in the system: Names, titles, addresses.

Authority for maintenance of the system: 42 USC 626.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Paper files.

Retrievability: Indexed alphabetically.

Safeguards: Available only to authorized personnel.

Retention and disposal: Names are kept on file indefinitely; may be removed by request.

System manager(s) and address:

Administrative Assistant
Room 5524
400 - 6th Street, S.W.
Washington, D. C. 20201

Notification procedure: See above for address; written requests only.

Record access procedures: See above for address.

Contesting record procedures: See above for address.

Record source categories: Applications for grants, telephone and written requests.

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None.

09-80-0009

System name: OCD Mailing List HEW OHD OCD R10.

Security classification: None.

System location:

GSA - Federal Building
915 2nd Avenue
Seattle, Washington 98104

Categories of individuals covered by the system: OCD grantees, affiliates, persons requesting information on OCD programs.

Categories of records in the system: Mailing Key contains persons' names, titles, and addresses only.

Authority for maintenance of the system: Community Services Act of 1974 (42 USC 2710).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: On 3 x 5 index cards and metal plates.

Retrievability: Indexed by code using letters and numbers; used for correspondence, to distribute program information and bimonthly newsletter.

Safeguards: Access by authorized personnel only.

Retention and disposal: Information is kept as long as accurate and persons are still interested in receiving information, then they are destroyed.

System manager(s) and address:

Director
Office of Child Development
710 2nd Avenue, Room 1490
Seattle, Wash. 98104

Notification procedure: Same as above.

Record access procedures: Same as above.

Contesting record procedures: Same as above.

Record source categories: Source of information is directly from grantees and interested persons wanting to receive information.

Systems exempted from certain provisions of the act: None.

09-80-0010

System name: Mailing list for ONAP publications. OHD-ONAP

Security classification: None.

System location:

Room 4152 Donohoe Building
400 - 6th St., S.W.
Washington, D.C. 20201

Categories of individuals covered by the system: Individuals who request information on Native American Programs.

Categories of records in the system: Name and address of individuals or organizations who request information

Authority for maintenance of the system: P.L. 93-644 'Headstart, Economic Opportunity, and Community Partnership Act, 1974', Title VIII-Native American Programs.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: The addresses are kept in card index file box.

Retrievability: Indexed by individual or organizational name.

Safeguards: Access to authorized personnel only.

Retention and disposal: List will be permanent mailing list.

System manager(s) and address:

Public Information Officer
Room 4829 Donohoe Bldg.
400 - 6th St., S.W.
Washington, D.C. 20201

Notification procedure: System manager address same as above.

Record access procedures: Same as above.

Contesting record procedures: Same as above.

Record source categories: Incoming correspondence, individuals themselves.

Systems exempted from certain provisions of the act: None.

09-80-0011

System name: Consultants for Federal Technical Assistance Program, Vocational Rehabilitation Services. HEW OHD ORS IX.

Security classification: None.

System location:

Room 463, Federal Office Building
50 Fulton Street
San Francisco, CA 94102
and Regional Federal Record Center

Categories of individuals covered by the system: Technical Assistance Consultants.

Categories of records in the system: Name, address, education, experience (general business resume of qualifications).

Authority for maintenance of the system: P.L. 93-112, Sec. 304C.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Paper files, standard metal file cabinets.

Retrievability: Indexed alphabetically. Copies to Central Office for consolidation into 'Roster of Federal Technical Assistance Consultants Directory.'

Safeguards: Access limited to ORS staff. Rooms in which file cabinets are located are locked during non-duty hours.

Retention and disposal: Files maintained for two years then retired to Federal Records Center.

System manager(s) and address:

Director ORS
Room 463, Federal Office Building
50 Fulton Street
San Francisco, CA 94102

Notification procedure: System Manager; require name and professional affiliation.

Record access procedures: Same as above.

Contesting record procedures:

ARD, OHD
Room 441, Federal Office Building
50 Fulton Street
San Francisco, CA 94102

Record source categories: Individual or project agency official.

Systems exempted from certain provisions of the act: None.

09-80-0012

System name: Office of Rehabilitation Services Mailing Lists. OHD-ORS-R10

Security classification: None.

System location:

Department of Health, Education and Welfare
Office of Rehabilitation Services
Room 1001, Arcade Plaza Building
1321 Second Avenue
Seattle, Washington 98101

Categories of individuals covered by the system: Providers of rehabilitation services in Region X individuals who have requested that they receive program information, grantees, grant applicants.

Categories of records in the system: Name, address, title, phone numbers.

Authority for maintenance of the system: P.L. 93-112.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Card files.

Retrievability: Indexed by name. Used by ORS staff to disseminate program information.

Safeguards: Access by authorized personnel only.

Retention and disposal: Retained indefinitely.

System manager(s) and address:

Director, Office of Rehabilitation Services
OHD, HEW, M.S. 137
Arcarde Plaza Building
1321 Second Avenue
Seattle, Washington 98101

Notification procedure: Same as above.

Record access procedures: Same as above.

Contesting record procedures: Same as above.

Record source categories: Individuals themselves, from grant applications.

Systems exempted from certain provisions of the act: None.

09-80-0014

System name: Runaway Youth Act Mailing Lists HEW OHD OYD.

Security classification: None.

System location:

Room 1618 Donahoe Building
400 6th St. S.W.
Washington, D.C. 20201

Categories of individuals covered by the system: Individuals who make inquiries regarding publications, grant programs and other matters related to the Runaway Youth Act.

Categories of records in the system: Names, addresses and titles of individuals and agencies.

Authority for maintenance of the system: The Juvenile Justice and Delinquency Prevention Act of 1974. P.L. 93-415, Title III. 42 USC 5701 Regulations; Vol. 40 No. 78 45 CFR 1351.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To members of Congress; to agencies in the youth field; to Colleges and to other Federal agencies on request. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: The mailing lists are maintained in metal file cabinets and on cards.

Retrievability: Mailing lists are indexed with OYD code numbers and indexed alphabetically.

Safeguards: Direct access restricted to authorized OYD staff.

Retention and disposal: Mailing lists are maintained indefinitely.

System manager(s) and address:

Head, OYD Office
Room 1651, Donahoe Building
400 6th St. S.W.
Washington, D.C. 20201

Notification procedure: System manager.

Record access procedures: Same as above.

Contesting record procedures: Same as above.

Record source categories: From individuals requesting by phone or letter to be placed on list.

Systems exempted from certain provisions of the act: None.

09-80-0015

System name: National Clearing House on Aging-Mailing Keys HEW AOA NCA.

Security classification: None.

System location:

Room 3544 Donohoe Building
400 6th Street, S.W.
Washington, D. C. 20201

Categories of individuals covered by the system: Individuals interested in the field of aging.

Categories of records in the system: Name, title, and address of individual or oganization.

Authority for maintenance of the system: Older Americans Act of 1965, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: The records are maintained in a card index file and computer storage. A listing of the various lists by type of organization

or purpose and the number of addresses on each list, plus the number of copies to be distributed, is maintained.

Retrievability: Indexed by name of individual or organization used by staff for mailing AOA publications, fact sheets, and press releases.

Safeguards: Card index may be inspected on demand but general use restricted to authorized personnel.

Retention and disposal: Lists are circularized yearly as required by the Joint Committee on Printing, and individuals not responding are dropped from list.

System manager(s) and address:

Chief, Public Information Division
400 - 6th Street, S.W., Rm. 3544
Washington, D.C. 20201

Notification procedure: Same as above.

Record access procedures: Same as above.

Contesting record procedures: Same as above

Record source categories: From Individuals themselves, professional directories, grant files.

Systems exempted from certain provisions of the act: None.

09-80-0016

System name: Childrens' Bureau General Mailing list HEW OHD OCD CB.

Security classification: None.

System location:

Room 4109
400 - 6th Street, S.W.
Washington, D. C. 20201

Categories of individuals covered by the system: Individuals interested in Children's Bureau programs, OCD consultants.

Categories of records in the system: Names, addresses, titles.

Authority for maintenance of the system: Childrens' Bureau Act of 1912.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Addressograph plates, paper files.

Retrievability: Indexed alphabetically.

Safeguards: Available only to authorized personnel.

Retention and disposal: Records kept indefinitely. Names are removed on request.

System manager(s) and address:

Publications Coordinator
Room 4109
400 - 6th St., S.W.
Washington, D.C. 20201

Notification procedure: See above; written requests only.

Record access procedures: See above.

Contesting record procedures: See above.

Record source categories: Individuals themselves.

09-80-0017

System name: Children Today Mailing List HEW OHD OCD CB.

Security classification: None.

System location:

Room 4109
400 - 6rh Street, S.W.
Washington, D.C. 20201

Categories of individuals covered by the system: Subscribers and contributors to Children Today

Categories of records in the system: Names and addresses of subscribers and contributors.

Authority for maintenance of the system: Childrens' Bureau Act of 1912.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Addressograph plates, paper files.

Retrievability: Indexed alphabetically.

Safeguards: Available to authroized persons only.

Retention and disposal: Records are retained indefinitely, names removed by request.

System manager(s) and address:

Publications Coordinator
Room 4109
400 - 6th Street, S.W.
Washington, D. C.

Notification procedure: Same as above; written requests only.

Record access procedures: Same as above.

Contesting record procedures: Same as above.

Record source categories: Incoming correspondence, telephone calls, individuals themselves.

Systems exempted from certain provisions of the act: None.

09-80-0018

System name: Mailing keys. HEW/OHD/RSA.

Security classification: None.

System location:

Mailing Distribution Unit, Division of Printing
Room G320 North Building
330 Independence Avenue, S.W.
Washington, D.C. 20201

Categories of individuals covered by the system: State vocational rehabilitation agencies (general and blind), rehabilitation facilities, persons interested in statistics, persons interested in the deaf.

Categories of records in the system: Name of agency or individual, and address.

Authority for maintenance of the system: The Rehabilitation Act of 1973 (P.L. 93-112) and the Rehabilitation Amendments of 1974 (P.L. 93-516).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: IBM Master Cards are stored in file drawers.

Retrievability: These IBM cards are filed by key number, City and State and Zip Code.

Safeguards: Only authorized persons allowed access.

Retention and disposal: Maintained as long as necessary and then destroyed.

System manager(s) and address:

Director, Administrative Services, RSA
Room 3122, MES Building
330 C Street, S.W.
Washington, D.C. 20201

Notification procedure: System Manager. Address same as above.

Record access procedures: Same as above.

Contesting record procedures: Same as above.

Record source categories: From agencies or individuals themselves.

Systems exempted from certain provisions of the act: None.

09-80-0019

System name: Correspondence Files. HEW/OHD/RSA.

Security classification: None.

System location:

Room 5114, MES Building
330 C Street, S. W.
Washington, D. C. 20201

Categories of individuals covered by the system: Members of Congress, The White House, departments and agencies of Federal, State and local government, private voluntary groups and the general public.

Categories of records in the system: Name and address of individuals submitting correspondence, responses and exchanges of information associated with the Federal-State vocational rehabilitation program.

Authority for maintenance of the system: The Rehabilitation Act of 1973 (P.L. 93-112) and the Rehabilitation Amendments of 1974 (P.L. 93-516).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: The records are maintained in file cabinets.

Retrievability: Congressional correspondence filed by name of Congressman. Other correspondence filed in alphabetical order by name of signer.

Safeguards: Access to authorized indivuals only.

Retention and disposal: Inquiry records are maintained five years and sent to the Federal Records Disposal Center.

System manager(s) and address:

Commissioner of Rehabilitation Services
Room 5114, MES Building
330 C Street, S. W.
Washington, D. C. 20201

Notification procedure: Inquirer should provide name and address.

Record access procedures:

Commissioner of Rehabilitation Services
Room 5114, MES Building
330 C Street, S. W.
Washington, D. C. 20201

Contesting record procedures: Same as above.

Record source categories: Incoming correspondence, responses and material provided by individual.

Systems exempted from certain provisions of the act: None. /*

09-40-0002

System name: Registry of Deaf-Blind Children - Regional-National. HEW E.

Security classification: None.

System location: See Appendix 1.

Categories of individuals covered by the system: Deaf-blind children enrolled in Title VI-C supported programs or for whom services are being planned by each state under the 10 regional deaf-blind centers are indicated in the registry by name, or code as determined by state and local regulations. The registry contains information on children by sex, demographic data, and service status of child.

Categories of records in the system: Name, address, service category, i.e., service being provided to the child, fiscal data such as state, local, or federal funding received by each program under the regional deaf-blind center.

Authority for maintenance of the system: 20 USC 1422.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Authorized staff of regional deaf-blind centers, state and local education agencies and participating agencies for the purpose of planning and developing appropriate programs to meet short and long term needs of deaf-blind children have access to statistical aggregate data only through authorized center staff. Registry data will be coordinated with a joint national registry in cooperation with the National Center for Deaf-Blind Youths and Adults. Disclosure may be made to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Card index, paper files in metal file cabinets in each regional center office, computer discs and magnetic tapes under management of one regional center and the National Deaf-Blind Center.

Retrievability: Registries are indexed by name, or code, for each child reported by programs serving deaf-blind children and maintained only by the regional center staff. Statistical aggregate data is available for planning purposes to center staff, regional advisory committee members, state and local education agencies, participating agencies and National Center for Deaf-Blind Youth and Adults.

Safeguards: Direct access to regional registries is controlled by each regional center and statistical data are made available only to authorized officials as indicated above. Regional and national registries maintained under lock and key, and code for data on computer tapes known only to authorized staff responsible for their management. Exception: subject to disclosure requirements of the Privacy Act.

Retention and disposal: Regional and national registries are maintained throughout educational and rehabilitation lifetime of the individual, or removed upon request by parents or the client.

System manager(s) and address:

Chief, Special Services Branch/BEH
Room 4046 Donohoe Building
400 Maryland Avenue
Washington, D.C. 20202

Notification procedure: System manager for general inquiries; for specific information contact regional center serving state which child is from. See Appendix 1. Provide child's name and/or any I.D. number or code assigned to regional center.

Record access procedures: Contact system manager.

Contesting record procedures: Contact system manager.

Record source categories: Parents, referrals by states and participating agencies serving deaf-blind children, to the regional deaf-blind center. All data are provided on a voluntary basis.

Systems exempted from certain provisions of the act: None

09-40-0003

System name: Student Participants in Deaf-Blind Programs under Centers and Services for Deaf-Blind Children -- HEW E.

Security classification: None.

System location: See Appendix 1.

Categories of individuals covered by the system: General intake data including name and address of child, medical, sociological and educational data relevant to the child in order to determine child's eligibility for services and plan prescribed program to meet child's needs.

Categories of records in the system: Name, address, general intake data as described above and maintained in file record of program in which child is enrolled. All information is provided by consent and knowledge of parents of child.

Authority for maintenance of the system: 20 USC 1422.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Authorized officials and staff of immediate program in which child is enrolled, Regional Center staff for planning short and long term program alternatives for the child. Disclosure may be made to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Paper files stored in file cabinets of individual programs in which child is enrolled. Only authorized staff have access to records with approval of administrative official of said program.

Retrievability: Files are indexed by child's name and are retrievable only by authorized staff of program in which child is enrolled, and by parent of child.

Safeguards: Files are maintained under lock and key and cannot be removed without approval of authorized official of program in which child is enrolled. Exception: subject to disclosure requirements of Privacy Act.

Retention and disposal: Files are maintained as long as child is enrolled in program. File may follow child, as child moves to another program or state.

System manager(s) and address:

Chief, Special Services Branch/BEH
Room 4046 Donohoe Building
400 Maryland Avenue
Washington, D.C. 20202

Notification procedure: System manager for general inquiries; for specific information see Appendix 1. Provide child's name and/or code number for information regarding specific program child is enrolled in. Regional Center will provide name and address from which parent can request specific information.

Record access procedures: Contact system manager.

Contesting record procedures: Contact system manager for general information.

Record source categories: Parents of child enrolled in program, all data are provided on a voluntary basis.

09-40-0004

System name: Parent participants in deaf-blind programs provided by Regional Centers for Deaf-Blind Children. HEW E.

Security classification: None.

System location: See Appendix 1.

Categories of individuals covered by the system: Parents of deaf-blind children enrolled in programs provided by Regional Centers for Deaf-Blind Children.

Categories of records in the system: Name, address, general intake data as determined by administrative officials of programs in which child is enrolled. All information requested is provided with knowledge and consent of the parent.

Authority for maintenance of the system: 20 USC 1422.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Authorized officials and staff of immediate program in which child is enrolled to communicate with parents regarding child's progress. Disclosure may be made to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Paper files stored in file cabinets of individual program in which child is enrolled. Only authorized staff have access to records with approval of administrative official of said program.

Retrievability: Files are indexed by child's name and are retrievable only by authorized staff of program in which child is enrolled; and, by parent of child.

Safeguards: Files are maintained under lock and key and cannot be removed without approval of authorized official of program in which child is enrolled. Exception: subject to disclosure requirements of Privacy Act.

Retention and disposal: Files are maintained as long as child is enrolled in program. File may follow child, as child moves to another program or state.

System manager(s) and address:

Chief, Special Services Branch/BEH
Room 4046 Donohoe Building
400 Maryland Avenue, S.W.
Washington, D.C. 20202

Notification procedure: System manager for general inquiries; for specific information see Appendix 1. Provide child's name and/or code number for information regarding specific program child is enrolled in. Regional Center will provide name and address from which parents can request specific information.

Record access procedures: Contact system manager.

Contesting record procedures: Contact system manager.

Record source categories: Parents of child enrolled in program all data are provided on a voluntary basis.

APPENDIX I (for 09400002, 09400003, 09400004)

REGIONAL DEAF-BLIND CENTERS

Director's Office
New England Deaf-Blind Center
c/o Perkins School for the Blind
175 North Beacon St.
Watertown, Mass. 02172

Director's Office
Mid-Atlantic (North) and Caribbean Deaf-Blind Center
c/o New York Institute for the Blind
999 Pelham Parkway
Bronx, New York 10469

Director's Office
South-Atlantic Deaf-Blind Center
c/o N. Carolina Dept. of Public Instruction
Division of Excepional Children
Education Building - Room 449
Raleigh, North Carolina 27611

Director's Office
Southeast Deaf-Blind Center
c/o Alabama Institute for Deaf and Blind
Box 698
Talledega, Ala. 35160

Director's Office
Midwest Regional Deaf-Blind Center

c/o Michigan Department of Education
5th Floor, Davenport Building
Ottawa & Capitol
Lansing, Michigan 48933

Director's Office
South Central Deaf-Blind Center
c/o Callier Hearing and Speech Center
1966 Inwood Road
Dallas, Texas 75235

Director's Office
Texas Deaf-Blind Center
Texas Education Agency
c/o Special Education Division
9th & Jacinto
Austin, Texas 78701

Director's Office
Mountain-Plains Regional Deaf-Blind Center
1345 Lincoln Street
Denver, Colorado 80203

Director's Office
Southwest Deaf-Blind Center
1500 5th Street
Sacramento, California 95814

Director's Office
Northwest Deaf-Blind Center
3411 South Alaska Street
Seattle, Washington 98118

09-40-0005

System name: Participant waiting list for projects serving severely handicapped children and youth. HEW E.

Security classification: None.

System location: See Appendix II.

Categories of individuals covered by the system: Severely handicapped children and youth waiting to be included in services provided by project.

Categories of records in the system: Name, address, and telephone numbers of children and youth; student educational, social, psychological and relevant medical information.

Authority for maintenance of the system: Education of the Handicap Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To State and local educational agencies for coordinating services to potential participants; to other relevant State and local public and private agencies providing services to such potential participants, for coordination of services; to members of the project advisory boards and parent-teacher type organizations for coordinating and augmenting services to potential participants. Disclosure may be made to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Information is in folders and stored in file cabinets.

Retrievability: Filed alphabetically by potential student surname. Records are cross indexed with listings of students by county/district. Records are available to project staff involved in planning for services to be provided.

Safeguards: Direct access is restricted to authorized project staff; access to room in which file cabinets are maintained is limited during non-working hours to those with keys to room. Exception: subject to disclosure requirements of Privacy Act.

Retention and disposal: Student files are maintained in potential student category until the enrollment of a student, or for two years following possible enrollment age of student. Disposal--records put into trash.

System manager(s) and address:

Chief, Special Services Branch/BEH
Room 4046 Donohoe Building
400 Maryland Avenue, S.W.
Washington, D.C. 20202

Notification procedure: System manager; for general inquiries, provide name and possible matriculation date of student. Address is project director as cited in Appendix II.

Record access procedures: Contact project director.

Contesting record procedures: Contact project director.

Record source categories: Names and addresses referred from public and private educational and health agencies. Student information provided through review of records available on potential students from other public and private agencies.

09-40-0006

System name: Participants of Projects Serving Severely Handicapped Children and Youth. HEW E.

Security classification: None.

System location: See Appendix II.

Categories of individuals covered by the system: Severely handicapped children and youth participating in Special Services Branch-funded projects, and the parents of such children and youth.

Categories of records in the system: Name, address, and telephone numbers of children, youth and their parents; student educational, social, psychological and relevant medical information; student attendance, progress and testing records.

Authority for maintenance of the system: 44 USC 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To State and local educational agencies for coordinating services to participants; to other relevant state and local public agencies providing services to such participants, for coordination of services to them; to members of project advisory boards and parent-teacher type organizations for coordinating and augmenting services to participants. Disclosure may be made to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Paper files maintained in standard file cabinets.

Retrievability: Filed alphabetically by student/parent surname. Records are cross-indexed with listings of students by county/school district. Records are available to project staff involved in the provision of services to the students/parents. Occasionally, personnel in State and local educational departments may be given some information from the files for the purpose of coordinating and strengthening services to the students/parents.

Safeguards: Direct access is restricted to authorized project staff; access to room in which file cabinets are maintained is limited during non-working hours to those with keys to room. Exception: subject to disclosure requirements of Privacy Act.

Retention and disposal: Student and parent files are maintained for two years following the participation of a student. Disposal--records put into trash.

System manager(s) and address:

Chief, Special Services Branch/BEH
Room 4046 Donohoe Building
400 Maryland Avenue, S.W.
Washington, D.C. 20202

Notification procedure: System manager; for general inquiries, name and matriculation dates of students. Address is project director as cited in Appendix II.

Record access procedures: Contact Systems Manager.

Contesting record procedures: Contact Systems Manager.

Record source categories: Names and addresses referred from public and private educational and health agencies. Student information provided through review of records of students previously receiving services from other agencies.

APPENDIX II (for 09400005 and 09400006)

PROGRAMS FOR SEVERELY HANDICAPPED CHILDREN AND YOUTH

ARIZONA - Program

Arizona Department of Health Services
Bureau of Child Development
200 N. Curry Road
Tempe, Arizona 85281

CALIFORNIA - Program

California State Department of Education
Diagnostic School for the Neurologically Handicapped
Los Angeles, California 90012

CONNECTICUT -Program

Oak Hill School
120 Holcomb Street
Hartford, Connecticut 06112

FLORIDA - Program

Mailman Center for Child Development
Debbie School
Post Office Box 52006
Miami, Florida 33152

ILLINOIS - Program

University of Illinois at Chicago Circle
Box 4348
Chicago, Illinois 60608

Northern Illinois University
Dekalb, Illinois 60115

INDIANA - Program

Indiana University Foundation
Developmental Training Center
Bloomington, Indiana 47401

IOWA - Program

The University of Iowa
Division of Child Psychiatry
Iowa City, Iowa 52240

KANSAS - Program

Kansas Neurological Institute
3107 W. 21st Street
Topeka, Kansas 66604

University of Kansas Medical Center
39th and Rainbow Blvd.
Kansas City, Kansas 66103

University of Kansas - Public Schools
Lawrence, Kansas 66045

LOUISIANA - Program

Lafayette Parish School Board
Post Office Drawer 2158
Lafayette, Louisiana 70502

MAINE - Program

Dept. of Mental Health & Corrections
State Office Building
Augusta, Maine 04333

Elizabeth Levinson Center
159 Hogan Road
Bangor, Maine 04401

MARYLAND - Program

Maryland State Department of Education
William S. Baer School
2001 Warwick Avenue
Baltimore, Maryland 21216

Baltimore City Public Schools
Harford Heights School
North Avenue and Broadway
Baltimore, Maryland 21213

JFK Institute
Baltimore, Maryland 21205

Holly Center
P.O. Box 2358
Snow Hill Road
Salisbury, Maryland 21801

MASSACHUSETTS - Programs

Psycho-Educational Center
Beverly School for the Deaf
6 Echo Avenue
Beverly, Massachusetts 01915

MICHIGAN - Program

Muskegon Public Schools
Vanderclass School
756 Emerald Avenue
Muskegon, Michigan 49440

MINNESOTA - Program

St. Paul Independent School District 0625
Special Education Department
360 Colborne Street
St. Paul, Minnesota 55102

New York - Program

New York University
Washington Square Center
New York, New York 10003

Syracuse University
Division of Special Education and Rehabilitation
Syracuse, New York 13210

OHIO - Programs

The Children's Hospital of Akron
Buchtel at Bowery
Akron, Ohio 44308

OREGON - Program

Oregon State Teachers Research Division
Oregon State System of Higher Education
Monmouth, Oregon 97361

Portland State University
Portland, Oregon 97207

PENNSYLVANIA - Program

Upsal Day School for Blind Children/ Center for the Blind
220 West Upsal Street

Philadelphia, Pennsylvania 19119

The Pennsylvania State University
212 J. O. Keller Building

University Park, Pennsylvania 16802

The Developmental Center for Autistic Children
120 North Street
Philadelphia, Pennsylvania 19139

Luzerne Intermediate Unit 018
Kingston, Pennsylvania 18704

Appalachia Intermediate Unit 018
Cresson Center
Cresson, Pennsylvania 16630

RHODE ISLAND - Program

Meeting Street School
667 Waterman Avenue
E. Providence, Rhode Island 02914

SOUTH CAROLINA - Program

Department of Mental Retardation
Whitten Village Piedmont Region
Post Office Drawer 239
Clinton, South Carolina 29325

TENNESSEE - Program

George Peabody College
Institute for Youth and Social Development
Post Office Box 43
Nashville, Tennessee 37203

George Peabody College
302 Mental Retardation Lab.
Post Office Box 326
Nashville, Tennessee 37203

TEXAS - Programs

Capitol Area Rehabilitation Center
919 West 28 1/2 Street
Austin, Texas 78705

The Governor's Coordinating Office for the Visually Handicapped
Suite 1004, Westgate Station
1112 Colorado
Austin, Texas 78711

University of Texas at Dallas
Richardson, Texas 75080

UTAH - Program

Utah State University
Logan, Utah 84322

VIRGINIA - Program

Fairfax County Public Schools
Fairfax, Virginia 22030

WASHINGTON - Program
Washington State Department of Public Instruction
Olympia, Washington 98504

University of Washington
Seattle, Washington 98105

WEST VIRGINIA - Program

Shawnee Hills Regional Center
Department of Mental Health
P.O. Box 338
Institute, West Virginia 25112

TERMINATED TELECOMMUNICATIONS PROJECTS FOR SEVERELY HANDICAPPED

INDIANA - Telecommunication

Telecommunication for Severely Handicapped Children & Youth
Purdue Research Foundation
West Lafayette, Indiana 47907

KENTUCKY - Telecommunication

University of Kentucky Research Foundation
305 Kinhead Hall, East Wing
Lexington, Kentucky 40506

NEW YORK - Telecommunication

Regents of the University of the State of New York
55 Elk
Albany County Albany, New York 12224

Teaching Resource Center
City University of New York
144 West 125th Street
New York, New York 10027

UTAH - Telecommunication

Exceptional Child Center
Utah State University
Logan, Utah 84322

09-40-0007

System name: Participants in Workshops Concerning Severely Handicapped Children and Youth. HEW E.

Security classification: None.

System location:

Room 4046 Donohoe Building
400 Maryland Avenue, S.W.
Washington, D.C. 20202

Categories of individuals covered by the system: Professionals and non-professionals attending BEH sponsored or supported national and regional workshops which deal with severely handicapped children and youth.

Categories of records in the system: Name and address of workshop participants.

Authority for maintenance of the system: 44 USC 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To national organizations of professionals working with severely handicapped children and youth for sharing of information and coordination of activities; to State and local educational agencies directing attention to this special field of services. Disclosure may be made to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: File Cabinet storage, paper files.

Retrievability: Indexed and filed by name of conference-workshop location of conference, and topic(s) discussed. Cross-indexed by name of participant in alphabetical listings.

Safeguards: Direct access is restricted to authorized program staff; access to room in which file cabinets are maintained is

limited during non-working hours to those with HEW passes to building. Exception: Subject to the disclosure requirements of the Privacy Act.

Retention and disposal: Workshop Participants files are maintained for two years following the completion of a conference/workshop. Disposal--records put into trash.

System manager(s) and address:

Chief, Special Services Branch/BEH
Room 4046 Donohoe Building
400 Maryland Avenue, S.W.
Washington, D.C. 20202

Notification procedure: System manager; for general inquiries, name and address of participant. Address is Program Officer, cited above.

Record access procedures: Contact System Manager directly.

Contesting record procedures: Contact System Manager.

Record source categories: Names and addresses obtained from the participants attending national or regional meetings concerning severely handicapped children and youth.

09-40-0011

System name: Upward Bound Information System. HEW E.

Security classification: None.

System location:

Room 3319-C, GSA - Regional Office Building 03
7th & D Streets, S. W.
Washington, D. C. 20202

Categories of individuals covered by the system: Current and former participants in the Upward Bound Program.

Categories of records in the system: The student's: name, system identifier number, social security number, sex, date of birth, ethnoracial background, home address, dates of entry into and departure from Upward Bound, income eligibility data, need for program services, veteran's status, current enrollment status and grade level, high school and expected date of graduation, high school academic program and grade point average at times of entry into and departure from the program, Scholastic Aptitude Test and American College Test Score data (if applicable), reason for leaving program, postsecondary school enrollment data and adequacy of financial aid or reason for not pursuing a postsecondary education, and, employment status.

Authority for maintenance of the system: Title IV-A of the Higher Education Act of 1965, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: For the routine uses set forth in Appendix B to 45 Code of Federal Regulations Part 5b. Disclosure may be made to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Records are stored on magnetic tape files at OE's contractor site, 5185 MacArthur Blvd., N.W., Washington, D.C. 20016.

Retrievability: Records are accessed primarily by a student number assigned by the Upward Bound computer system. Individual student information is used by program officers for program monitoring and for verifying student eligibility. Summary statistics, excluding any personal information, are produced to develop profile information regarding program participants for program evaluation, planning, and reporting purposes. Summary statistics concerning the postsecondary placement, enrollment and graduation of former participants are produced for project and program monitoring and evaluation. Exception: Subject to disclosure requirements of Privacy Act.

Safeguards: Only designated personnel are authorized to have access to the files.

Retention and disposal: Current records are maintained indefinitely.

System manager(s) and address:

Chief, Data Collection, Analysis and Dissemination Section
Division of Student Services and Veterans Programs, BHCE
Room 4662, ROB-3
400 Maryland Avenue, S.W.
Washington, D.C. 20202

Notification procedure: Contact system manager.

Record access procedures: Contact system manager.

Contesting record procedures: Contact system manager.

Record source categories: Information is submitted by the institution's program director who obtains it directly from the individual students. Information regarding the enrollment and graduation of former participants is also obtained from college registrars.

09-40-0012

System name: Migration and Refugee Assistance Act of 1962--United States Loan Program for Cuban Students. HEW E.

Security classification: None.

System location:

7th & D Streets, S.W. Room 4018
Washington, D.C. 20202

Categories of individuals covered by the system: Cuban refugees who have borrowed money under the program to finance their education at eligible institutions of higher education.

Categories of records in the system: (1) All individual student files contain the following personal data: name, address, institution, OE ID No.; sex, date of birth, marital status, dependents; place of birth, immigration status, Social Security number; name and address of parents and relatives; employment record for past five years; educational pursuits, career objective; financial information (relatives); date of separation, total amount borrowed; repayment schedule, collections, deferments, cancellations; (2) Additional information on those who request a postponement of repayment on ground of hardship: place of employment, income; regular expenses, lists of debts giving name and address of creditor, nature of indebtedness, total cost, balance owed, frequency of payment and amount of each payment; (3) Additional information on those who request cancellation of loan on ground of permanent and total disability: nature of disability, date symptoms first appeared; name, address of doctor or hospital providing examination(s) and treatment; history of disability, present condition, diagnosis, treatment, progress, prognosis.

Authority for maintenance of the system: Migration and Refugee Assistance Act of 1962, Section 2, Public Law 87-510 (22 U.S.C. 2601).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To contractor providing billing and collection services for purposes of maintaining accurate and current records of participating students; to students who request a record of their account; to Internal Revenue Service and Immigration and Naturalization Service for purposes of skip-tracing lost borrowers; and to the General Accounting Office or the Department of Justice for legal action against delinquent borrowers and for the routine uses set forth in Appendix B to 45 Code of Federal Regulations Disclosure may be made to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Records are maintained in hard-copy filed in a lektriever and standard (locked) filed cabinets.

Retrievability: Records are indexed by individual name and OE identification number. Records are available to DSFA staff involved in correspondence with Cuban refugee borrowers, contractor personnel if necessary and members of the Office of General Counsel. Records are available to Public Health Service for determinations on requests for medical postponement of repayment of loan or permanent and total disability.

Safeguards: Direct access is restricted to authorized program officials and contractor personnel. Physically safeguarded by use of lektriever and standard file cabinets which are locked during nonworking hours. Exception: Subject to disclosure requirements of Privacy Act.

Retention and disposal: Records maintained indefinitely.

System manager(s) and address:

Director, Division of Student Financial Aid
Room 4018, GSA - Regional Office Building
7th & D Streets, S.W.
Washington, D.C. 20202

Notification procedure: System manager (see above) will respond to inquiries. Inquiries must contain system identification number and system name; name and address of borrower concerned; and date of previous correspondence, if any.

Record access procedures: Contact system manager.

Contesting record procedures: Contact system manager.

Record source categories: Original information is submitted by the institution's program director who obtains it directly from the individual students; additional information in the case of requests for hardship postponements or cancellations on the grounds of total and permanent disability is obtained from the student, a doctor and/or a hospital; and if a borrower dies before completion of repayment, proof of death is obtained from appropriate source.

09-40-0013

System name: National Defense Student Loan Program -- Request for Cancellation of Loan on Ground of Permanent and Total Disability. HEW E.

Security classification: None.

System location:

Room 4004 GSA - Regional Office Building
7th and D Streets, S.W.
Washington, D.C. 20202

Categories of individuals covered by the system: Student borrowers under the National Defense Student Loan Program requesting loan cancellation because of permanent and total disability.

Categories of records in the system: Information on borrowers requesting disability cancellation of loans includes name, address, Social Security number, medical records, name and address of lending institution, and other information needed to process such cancellation requests.

Authority for maintenance of the system: Title IV-E of the Higher Education Act of 1965, as ammended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: For the routine uses set forth in Appendix B to 45 Code of Federal Regulations Part 5b. Disclosure may be made to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Records in hard copy form are maintained in standard file cabinets.

Retrievability: Records are accessed by individual's name only. Program officials use the records to secure appropriate information on which the Commissioner of Education may make a determination to cancel a National Defense Student Loan for reasons of permanent and total disability. Public Health Service physicians serve as the Program's Medical Review Board to make final determinations as to the validity of claims.

Safeguards: Only program officials are authorized to have access to the files. Exception: Subject to disclosure requirements of the Privacy Act.

Retention and disposal: The file is a cumulative one. To date, all individual case records are maintained as initially filed; none have been deleted, removed, or stored elsewhere.

System manager(s) and address:

Director, Division of Student Financial Aid
Room 4100 ROB
7th and D Streets, S.W.
Washington, D.C. 20202

Notification procedure: System manager (see above).

Record access procedures: Contact system manager.

Contesting record procedures: Contact system manager.

Record source categories: Information is submitted by the borrower requesting cancellation and by his physician(s), through the lending institution.

09-40-0014

System name: Basic Grant Application File. HEW-E.

Security classification: None.

System location:

Room 4717
GSA-Regional Office Building 03
Washington, D.C. 20202

Basic Grant Processing Center
Iowa City, Iowa 52240

Categories of individuals covered by the system: Students applying for and receiving Basic Grant assistance.

Categories of records in the system: Name, address, birthdate, Social Security number, and financial data necessary to identify applicants and calculate their eligibility index for Basic Grants.

Authority for maintenance of the system: Title IV-A, of the Higher Education Act of 1965.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Identifying information and eligibilty index of applicants is provided to those institutions of postsecondary education in which the applicants plan to enroll or are enrolled. The same data are provided to State scholarship agencies having agreements with the Commissioner for purposes of coordinating State aid with the Basic Grant Program. On request, information is provided to members of Congress who inquire on behalf of a constituent and for the routine uses set forth in Appendix B to 45 Code of Federal Regulations Part 5b. Disclosure may be made to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Original applications are maintained in standard file cabinets in Basic Grant processing center. Micro-fiche records are maintained in Washington office in standard file cabinets.

Retrievability: Records are indexed by name of applicant with a cross-index file by Social Security number. Records are available to all Division of Basic and State Student Grant staff (including appropriate contract support).

Safeguards: Only designated program officials and contract staff have access to file. Exception: Subject to disclosure requirements of Privacy Act.

Retention and disposal: Original records are maintained until end of academic year and then stored in Federal Records Center.

System manager(s) and address:

Director, Division of Basic and State Student Grants
Room 4717, ROB-3
400 Maryland Avenue, S.W.
Washington, D.C. 20202

Notification procedure: System Manager; provide name. Address same as above.

Record access procedures: Contact system manager.

Contesting record procedures: Contact system manager.

Record source categories: Applications.

09-40-0015

System name: Basic Grant Student Eligibility Report Sub-system. HEW-E.

Security classification: None.

System location:

Room 4717
GSA-Regional Office Building 03
Washington, D.C. 20202

Categories of individuals covered by the system: Basic Grant recipients.

Categories of records in the system: Name, address, birthdate, Social Security number, financial data and status of award for Basic Grant recipients.

Authority for maintenance of the system: Title IV-A, of the Higher Education Act of 1965.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To prepare annual student validation roster for submission to schools in order to verify payments made to students. Disclosure may be made to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Original Student Eligibility Reports and hard copy are maintained in standard file cabinet.

Retrievability: Records are indexed by institution and by name and Social Security number within school. Records are used to verify and reconcile institutional expenditures.

Safeguards: Direct access is restricted to authorized staff. Exception: Subject to disclosure requirements of Privacy Act.

Retention and disposal: Original copies are maintained until fiscal year funds are closed out and then stored at Federal Records Center.

System manager(s) and address:

Director, Division of Basic and State Student Grants
Room 4717, ROB-3
400 Maryland Avenue, S.W.
Washington, D.C. 20202

Notification procedure: System manager; provide name. Address same as above.

Record access procedures: Contact system manager.

Contesting record procedures: Contact system manager.

Record source categories: Student Eligiblity Report.

09-40-0016

System name: Basic Educational Opportunity Grant Alternate Disbursement System. HEW-E.

Security classification: None.

System location:

Room 4717
GSA-Regional Office Building 03
Washington, D.C. 20202

Categories of individuals covered by the system: Eligible applicants who are paid directly by Federal government since they are enrolled in eligible non-participating schools.

Categories of records in the system: Name, address, birthdate, Social Security number, financial data, and enrollment status of Basic Grant recipients paid through this system.

Authority for maintenance of the system: Title IV-A, of the Higher Education Act of 1965.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: For routine uses set forth in Appendix B to 45 Code of Federal Regulations Part 5b. Disclosure may be made to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Records are maintained in standard file cabinet.

Retrievability: Records are indexed by name of applicant. Records are available to Division of Basic and State Student Grant staff.

Safeguards: Direct access is restricted to authorized staff.

Retention and disposal: Original copies are maintained until fiscal year funds are closed out and then stored at Federal Records Center.

System manager(s) and address:

Director, Division of Basic and State Student Grants
Room 4717, ROB-3
400 Maryland Avenue, S.W.
Washington, D.C. 20202

Notification procedure: System manager; name and Social Security number. Address same as above.

Record access procedures: Contact system manager.

Contesting record procedures: Contact system amanger.

Record source categories: Student Eligibility Reports and Requests for Payment from applicants.

09-40-0017

System name: Basic Educational Opportunity Grant Student Validation File. HEW-E.

Security classification: None.

System location:

Room 4717 Regional Office Bldg. 03
Washington, D.C. 20202

Categories of individuals covered by the system: Basic Educational Opportunity Grant student recipients.

Categories of records in the system: Basic Educational Opportunity Grant application information.

Authority for maintenance of the system: Title IV-A, of the Higher Education Act of 1965.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: For the routine uses, set forth in Appendix B to 45 Code of Federal Regulations Part 5b. Disclosure may be made to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the

Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Records are maintained in locked file cabinet.

Retrievability: Records are indexed by name and are available only to specifically designated staff involved in validation process.

Safeguards: Access is restricted to authorized staff only and files are maintained in locked cabinet. Exception: Subject to disclosure requirements of Privacy Act.

Retention and disposal: Records are maintained until resolved and then stored in Federal Records Center.

System manager(s) and address:

Director, Division of Basic and State Student Grants
Room 4717, ROB-3
400 Maryland Avenue, S.W.
Washington, D.C. 20202

Notification procedure: System manager; name. Address same as above.

Record access procedures: Contact system manager.

Contesting record procedures: Contact system manager.

Record source categories: Application data, incoming correspondence and related material, obtained during course of investigation.

09-40-0018

System name: Mutual Educational and Cultural Exchange Act Teacher Exchange Grantees and Applicants. HEW E.

Security classification: None.

System location:

Room 3069, Regional Office Building
7th and D. Streets, S.W.
Washington, D. C. 20202

Categories of individuals covered by the system: Individuals who have been selected to teach abroad under the Teacher Exchange Program. Individuals who have applied to teach abroad under the Teacher Exchange Program.

Categories of records in the system: Name, address, telephone number, date and place of birth, citizenship, dependents, educational background, employment background, languages, membership in clubs and organizations of the individuals, personal references including reports of interviews, administrative approval, and language proficiency when required.

Authority for maintenance of the system: The Mutual Educational and Cultural Exchange Act of 1961, as amended (22 USC 2451-2458).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: For routine uses set forth in Appendix B to 45 Code of Federal Regulations Part 5b. U.S. binational commissions, the board of foreign scholarships and concerned country educational authorities to determine suitability of candidate for teaching position in their country. Disclosure may be made to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: The records are maintained in hard-copy filed in standard file cabinets.

Retrievability: Records are accessed by individual names only by authorized OE staff for the purposes of determining eligilibility for teacher exchange grants, for selection of teacher exchange grantees, and to develop profile information regarding recipients of grants for program evaluation, planning, and reporting purposes.

Safeguards: Direct access is restricted to authorized OE staff. Exception: Subject to disclosure requirements of Privacy Act.

Retention and disposal: Records are maintained for three years.

System manager(s) and address:

Division Director, Division of International Education
400 Maryland Avenue, S.W.
Washington, D.C. 20202

Notification procedure: Contact system manager.

Record access procedures: Contact system manager.

Contesting record procedures: Contact system manager.

Record source categories: Information is submitted by the individual on approved application forms.

09-40-0019

System name: National Defense Education Act Foreign Language and Area Studies Fellowship Program -- Fellows and Alternates. HEW E.

Security classification: None.

System location:

7th and D. Streets, S.W. Room 3727
Washington, D.C. 20202

Categories of individuals covered by the system: Individuals who have been nominated by their institution of higher education to be a recipient or alternate recipient of a fellowship.

Categories of records in the system: Name, address, telephone number, citizenship, career goal, language competency, educational background, oath or affirmation of allegiance, previous awards held and statement of crimes on all individuals.

Authority for maintenance of the system: National Defense Education Act of 1958, as amended, Title VI, Section 601(b); Title X, Section 1001(f)(1), (2).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: For routine uses set forth in Appendix B to 45 Code of Federal Regulations Part 5b. Disclosure may be made to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: The records are maintained in hard-copy filed in standard file cabinets.

Retrievability: Records are accessed by individual names or by educational institution only by authorized OE staff members for the purposes of determining eligibility for fellowships, for establishing allowances for stipends and dependents, and for developing profile information regarding recipients of fellowships for program evaluation, planning, and reporting purposes.

Safeguards: Direct access is restricted to authorized OE staff. Exception: Subject to disclosure requirements of Privacy Act.

Retention and disposal: Records are maintained three years.

System manager(s) and address:

Division Director, Division of International Education
400 Maryland Avenue, S.W.
Washington, D.C. 20202

Notification procedure: Contact system manager.

Record access procedures: Contact system manager.

Contesting record procedures: Contact system manager.

Record source categories: Information is submitted by the individual on approved application forms.

09-40-0020

System name: Mutual Educational and Cultural Exchange Act--Doctoral Dissertation Research Abroad and Faculty Research Abroad, Fellows and Alternates. HEW E.

Security classification: None.

System location:

7th and D. Streets, S.W. Room 3727
Washington, D.C. 20202

Categories of individuals covered by the system: Individuals who have been selected to be a recipient or alternate recipient of a fellowship.

Categories of records in the system: Name, address, educational institution, date and place of birth, veterans status, educational background, health statement, language references, personal references for all individuals, project descriptions. In addition, the annualized salary figure for all faculty fellows and alternates.

Authority for maintenance of the system: The Mutual Educational and Cultural Exchange Act of 1961, as amended (22 USC 2451-2458).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: For the routine uses set forth in Appendix B to 45 Code of Federal Regulations Part 5b, U.S. embassies, binational commissions, the board of foreign scholarships, and in some cases foreign governments, and to Field Readers to determine eligibility and suitability to undertake research abroad. Disclosure may be made to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: The records are maintained in hard-copy filed in standard file cabinets.

Retrievability: Records are accessed by individual names and educational institution only by authorized OE staff and Field Readers for the purposes of determining eligibility and suitability to undertake research abroad, establishing allowances for travel, maintenance, and dependents, and for developing profile information regarding recipients of fellowships for program evaluation, planning, and reporting purposes.

Safeguards: Direct access is restricted to authorized OE staff. Exception: Subject to disclosure requirements of Privacy Act.

Retention and disposal: Records are maintained three years.

System manager(s) and address:

Division Director, Division of International Education
400 Maryland Avenue, S.W.
Washington, D.C. 20202

Notification procedure: Contact system manager.

Record access procedures: Contact system manager.

Contesting record procedures: Contact system manager.

Record source categories: Information is submitted by the individual on approved application forms.

09-40-0021

System name: Guaranteed Student Loan Program -- Compliance Files. HEW E.

Security classification: None.

System location:

Room 4636, GSA-Regional Office Building
7th and D Streets, S.W.
Washington, D.C. 20202

Categories of individuals covered by the system: Student borrowers and loan applicants, personnel of GSLP, regional offices, participating schools, and lenders, who are involved in complaints or allegations of program irregularities, noncompliance, or misconduct.

Categories of records in the system: Contains written documentation of the alleged or proven act(s) of misconduct including name, address, social security and claim numbers (if appropriate) of the complainant, name of the student borrower, school or lender, and the results of investigative action, prosecution or non-prosecution intent and results.

Authority for maintenance of the system: Higher Education Act of 1965, Title IV-B, as amended (20 U.S.C. 1071-1087-1).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To schools and lenders for investigative activities. For uses 1,3,4,5,6,8 and 103 in Appendix B of the Departmental Regulations (45 CFR Part 5b). Disclosure may be made to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: The records are maintained in hard-copy filed in standard file cabinets.

Retrievability: The records are filed and indexed alphabetically by name and address. Intradepartmental users of these records are the HEW Office of General Counsel (OGC), HEW Office of Investigations and Security (OIS), and the OE Regional Offices (OERO). OGC usage is for the purpose of providing background data in obtaining legal rulings and opinions. OIS usage is for the purpose of obtaining documentation necessary for the investigation. OERO usage is for the purpose of coordinating actions between various regional offices.

Safeguards: Direct access is restricted to authorized GSLP staff; file cabinets are locked. Exception: subject to disclosure requirements of Privacy Act.

Retention and disposal: Records are maintained three years; compliance and investigative records are maintained five years past date of case closing. Destroyed by maceration.

System manager(s) and address:

Director, Division of Program Development
Office of Guaranteed Student Loans
Room 4636, GSA-Regional Office Building
7th and D Streets, S.W.
Washington, D.C. 20202

Notification procedure: System manager; for general inquiries, name and date of previous correspondence, if known; for compliance/investigative material, name and any I.D. number assigned. Address is same as above.

Record access procedures: Same as above.

Contesting record procedures: Contact system manager, above.

Record source categories: Incoming correspondence, responses and material obtained during course of any investigation.

Systems exempted from certain provisions of the act: None.

09-40-0022

System name: Guaranteed Student Loan Program--Student Complaint Files. HEW E.

Security classification: None.

System location:

Room 4636, GSA-Regional Office Building
7th and D Streets, S.W.
Washington, D.C. 20202

Categories of individuals covered by the system: Student borrowers and applicants for student loans in the Guaranteed Student Loan Program who have made complaints or allegations of irregularities by schools or lenders.

Categories of records in the system: Contains written documentation of student complaints including name, address, social security and claim numbers (if appropriate) of the complainant, name of school and lender, and the results of investigative action.

Authority for maintenance of the system: Higher Education Act of 1965, Title IV-B, as amended (20 U.S.C. 1071-1087-1).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To schools and lenders for investigative activities. For uses 1,3,5,6,8 and 103 in Appendix B of the Departmental Regulations (45 CFR) Part 5b). Regulations (45 Code of Federal Regulations Part 5b). Disclosure may be made to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: The records are maintained in hard-copy filed in standard file cabinets.

Retrievability: The records are filed and indexed alphabetically by name and address. Authorized intradepartmental employees review action taken.

Safeguards: Direct access is restricted to authorized GSLP staff; file cabinets are locked. Exception: subject to disclosure requirements of Privacy Act.

Retention and disposal: Records are maintained three years; complaint and investigative records are maintained five years past date of case closing. Destroyed by maceration.

System manager(s) and address:

Director, Division of Program Development
Office of Guaranteed Student Loans
Room 4636, GSA-Regional Office Building
7th and D Streets, S.W.
Washington, D.C. 20202

Notification procedure: System manager; for general inquiries, name and date of previous correspondence, if known; for complaint/investigative material, name and any I.D. number assigned. Address is same as above.

Record access procedures: Same as above.

Contesting record procedures: Contact system manager, above.

Record source categories: Incoming correspondence, responses and material obtained during course of any investigation.

09-40-0023

System name: Guaranteed Student Loan Program--Defaulted Loans Submitted to General Accounting Office. HEW E.

Security classification: None.

System location:

Room 4636, GSA-Regional Office Building
7th and D Street, S.W.
Washington, D. C. 20202

Room 5471, 441 G Street, N.W.
Washington, D.C. 20548

Categories of individuals covered by the system: Student borrowers for whom defaulted claims have been paid on Federal Insured Student Loans and subsequently submitted to General Accounting Office (GAO) for further action.

Categories of records in the system: Contains borrower's name, demographic background, educational and lender information, family financial information, credit data, and collection history.

Authority for maintenance of the system: Higher Education Act of 1965, Title IV-B, as amended (20 U.S.C. 1071-1087-1).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: For uses 1,3,4,5,6,8 and 9 in Appendix B of the Departmental Regulations (45 CFR Part 5b). Disclosure may be made to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: The records are maintained on microfilm filed in standard file cabinets.

Retrievability: Data indexed by name and date. Data utilized by collection staff to compile GSLP statistics and management reports; to implement write-off of files transferred to GAO; to provide additional information in response to GAO/Justice Department inquiries.

Safeguards: Direct access is restricted to authorized GSLP staff; file cabinets are locked. Exception: subject to disclosure requirements of Privacy Act.

Retention and disposal: Held indefinitely.

System manager(s) and address:

Director, Division of Operational Support
Office of Guaranteed Student Loans
Room 4636, GSA-Regional Office Building
7th and D Streets, S.W.
Washington, D.C. 20202

Notification procedure: System manager; for general inquiries, name and date of previous correspondence if known; for defaulted loans submitted to General Accounting Office, name, social security number and any I.D. number assigned. Address is same as above.

Record access procedures: Same as above.

Contesting record procedures: Contact system manager, above.

Record source categories: Information is obtained from applications, correspondence and reports from borrowers and their families, lenders, schools, employers, credit agencies, and governmental agencies.

Systems exempted from certain provisions of the act: None

09-40-0024

System name: Guaranteed Student Loan Program -- Lender's Report. HEW E.

Security classification: None.

System location:

Room 4636, GSA-Regional Office Building
7th and D Streets, S.W.
Washington, D.C. 20202

5700 Thurston Ave.
Virginia Beach, VA 23455

Categories of individuals covered by the system: Student borrowers who have applied for educational loans under the Guaranteed Student Loan Program.

Categories of records in the system: Contains written documentation of application including demographic background, loan and educational status, name of guarantor and lender and data on credit and family.

Authority for maintenance of the system: Higher Education Act of 1965, as amended (20 U.S.C. 1071-1087-1).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To contractors for updating computer records and correction of errors. For uses 1,3,5,6,8 and 9 in Appendix B of the Departmental Regulations (45 CFR Part 5b). Disclosure may be made to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components;

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

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

Storage: The records are maintained in hard-copy filed in standard records cartons.

Retrievability: Records are indexed by borrower's name. Used by GLSP personnel either to retrieve needed information on an individual, a school, a lender or as part of a random statistical sampling or review.

Safeguards: Direct access is restricted to authorized GLSP staff and contract employees; stored in records cartons in rooms locked during non-business hours. Exceptions: subject to disclosure requirements of Privacy Act.

Retention and disposal: Records of individual loans are destroyed three years after final repayment of loan. Destroyed by maceration.

System manager(s) and address:

Director, Division of Operational Support
Office of Guaranteed Student Loans
Room 4636, GSA-Regional Office Building
7th & D Streets, S.W.
Washington, D.C. 20202

Notification procedure: System manager for all inquiries, name and social security number. Address is same as above.

Record access procedures: Same as above.

Contesting record procedures: Contact system manager, above.

Record source categories: Incoming application forms from guaranteed agencies and private non-profit profit agencies approved by the Commissioner. Information supplied by student, student's family and lender.

Systems exempted from certain provisions of the act: None.

09-40-0025

System name: NDSL Student Loan Files. From certain institutions that are no longer in operation. HEW.

Security classification: None.

System location:

Room 4618, Regional Office Building 03
7th and D Streets, S.W.
Washington, D.C. 20202

Categories of individuals covered by the system: Student borrowers who have obtained loans under the National Direct (formerly Defense) Student Loan Program from institutions which are either endorsing defaulted notes to the U.S. government or which are no longer in operation.

Categories of records in the system: Contains borrower's name, demographic background, educational and lender information, family financial information, borrower credit and financial data, and collection history.

Authority for maintenance of the system: Higher Education Act of 1965, Title IV-E as amended (20 USC 1087aa-ff).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: For uses 1,3,4,5,6,8 and 9 in Appendix B of the Departmental Regulations (45 CFR 5b). To various billing services under contract with OE for continued servicing of loans from institutions no longer in operation. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: The records are maintained in hard-copy and microfilm filed in standard file cabinets.

Retrievability: Data indexed by name. Data utilized to compile NDSL statistics and management reports for NDSL staff; and used by the collection staff to collect monies owed to U.S. Government.

Safeguards: Direct access is restricted to authorized O.E. staff. Exception: subject to disclosure requirements of Privacy Act.

Retention and disposal: Hard copies destroyed by maceration after microfilming; microfilm maintained three years after repayment or cancellation of loan, and destroyed by chemical processing.

System manager(s) and address:

Director, Division of Student Financial Aid
Room 4100, Regional Office Building 03
7th and D Streets, S.W.
Washington, D.C. 20202

Notification procedure: Contact system manager.

Record access procedures: Contact system manager.

Contesting record procedures: Contact system manager.

Record source categories: Information is obtained from applications, correspondence and reports submitted by borrowers and their families, institutions of postsecondary education employers, credit agencies, and governmental agencies.

09-40-0026

System name: Guaranteed Student Loan Program--Paid Claims File. HEW E.

Security classification: None.

System location:

Room 4636, GSA-Regional Office Building
7th and D Streets, S.W.
Washington, D.C. 20202

Categories of individuals covered by the system: Student borrowers for whom claims have been paid on Federal Insured Student Loans.

Categories of records in the system: Contains borrower's name, demographic background, educational and lender information, family financial information, credit data, loan data, legal documents, medical reports, and collection history.

Authority for maintenance of the system: Higher Education Act of 1965, Title IV-B as amended (20 U.S.C. 1071-1087-1).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To contractors for issuance of collection letters; to credit company contractors for skip tracing, in-file history information, assets and ability to pay; to Internal Revenue Service for last known address; to Postal Service for last known address; to General Accounting Office for possible pre-litigation collection service and audit; to Department of Justice for possible legal action; to Federal Bureau of Investigation in performance of investigation into possible fraud cases; to State Department of Motor Vehicles for last known address; to State Bureau of Vital Statistics for verification of death; to mortgage companies for credit checks; to educational agencies or institutions against which a complaint has been made; to other lenders in the program making inquiries about the defaulted students who may have been denied additional loans; to other Federal agencies requesting information as to the repayment history of the defaulted account; to the State Department for last known address abroad; to contractors to update records and correct errors; to state guarantee agencies requesting student borrower information; and for uses 1,3, 4,5,6,8 and 9 in Appendix B of the Departmental Regulations (45 CFR Part 5b). Disclosure may be made to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: The records are maintained in hard-copy filed in standard file cabinets and lektriever.

Retrievability: Data indexed by name. Claims classified into special categories: bankruptcies; death; disabilities; repurchases by lenders; paid-in-full; and defaulted claims. Defaulted claims are separated into sub-categories: skip files, suspension files, foreign files, forbearance files, and prison files. Data utilized to compile GSLP statistics and management reports for system manager; used by collection staff to collect monies owed to U.S. Government and to perform post-audits on paid claims; to provide data to the Office of Investigations and Security in cases of possible fraud and irregularities; and to provide data to compliance staff associated with violation of the laws.

Safeguards: Direct access is restricted to authorized GSLP staff; file cabinets and lektriever are locked. Exception: subject to disclosure requirements of Privacy Act.

Retention and disposal: Records destroyed by maceration after microfilming; microfilm maintained three years after repayment or cancellation of loan, and destroyed by chemical processing.

System manager(s) and address:

Director, Division of Operational Support
Office of Guaranteed Student Loans
Room 4636, Regional Office Building
7th and D Streets, S.W.
Washington, D.C. 20202

Notification procedure: Systems manager; for general inquiries, name and date of previous correspondence, if known; for paid claim, name, social security number and any I.D. number assigned. Address is same as above.

Record access procedures: Same as above

Contesting record procedures: Contact system manager, above.

Record source categories: Information is obtained from applications, correspondence and reports from borrowers and their families, acquaintances, lenders, schools, employers, credit agencies, and governmental agencies.

Systems exempted from certain provisions of the act: None.

09-40-0027

System name: Guaranteed Student Loan Program--Claims and Collections Master File. HEW E.

Security classification: None.

System location:

115 Evergreen Heights Dr.
Pittsburgh, PA 15229

Categories of individuals covered by the system: Defaulted student borrowers for whom the claims have been paid on Federal Insured Student Loans.

Categories of records in the system: Contains names, social security numbers, addresses of defaulted borrowers. Contains claim numbers, amounts of claim to include interest and lender/school identifications.

Authority for maintenance of the system: Higher Education Act of 1965, Title IV-B, as amended, (20 U.S.C. 1071-1087-1).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To contractors for issuance of collection letters; to credit company contractors for skip tracing, in-file history information, assets and ability to pay; to Internal Revenue Service for last known address; to Postal Service for last known address; to General Accounting Office for possible pre-litigation collection service and audit; to Department of Justice for possible legal action; to Federal Bureau of Investigation in performance of investigation into possible fraud cases; to State Department of Motor Vehicles for last known address; to State Bureau of Vital Statistics for verification of death; to mortgage companies for credit checks; to educational agencies or institutions against which a complaint has been made; to other lenders in the program making inquiries about the defaulted students who may have been denied additional loans; to other Federal agencies requesting information as to the repayment history of the defaulted account; to the State Department for last known address abroad; to contractors to update files and correct errors; to state guarantee agencies requesting student borrower information; and for uses 1,3, 4,5,6,8 and 9 in Appendix B of the Departmental Regulations (45 CFR Part 5b). Disclosure may be made to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: The file is maintained on magnetic tape/disk packs in a library room area at the above named locations.

Retrievability: The file is indexed by social security number. Data are utilized to provide OGSL program staff with statistical and managerial reports; to provide the DHEW - Office of General Counsel and the DHEW - Office of Investigations and Security with data in possible cases of fraud or irregularities. Other uses by OGSL staff are to identify student borrowers indebted to the U.S. Government who have defaulted on their student loan; reimburse lending institution for claim against a guaranteed student loan; generate and maintain financial records for OE Finance Division; maintain accounting records of collection activity for borrowers repaying loans to U.S. Government; generate managerial and statistical reports; determine a borrower's default status; verify payments applied toward defaulted student loans; update file and correct errors.

Safeguards: OGSL screening of authorized contractual personnel. Exception: subject to disclosure requirements of the Privacy Act.

Retention and disposal: Retained indefinitely.

System manager(s) and address:

Director, Program Systems Division
Office of Guaranteed Student Loans
Room 4636, GSA-Regional Office Building
7th and D Street, S.W.
Washington, D.C. 20202

Notification procedure: Contact system manager for general inquiries supplying name, social security number and date of birth (at the above address).

Record access procedures: Same as above.

Contesting record procedures: Contact system manager, above.

Record source categories: Information is obtained from applications, correspondence, medical records, necessary legal documentation, and reports from borrowers and their families, lenders, schools, medical reports, employers, credit agencies, and Federal and State governmental agencies.

Systems exempted from certain provisions of the act: None.

09-40-0028

System name: Guaranteed Student Loan Program--Collection Letters. HEW E.

Security classification: None.

System location:

115 Evergreen Heights Dr.
Pittsburgh, PA 15229

Categories of individuals covered by the system: Defaulted student borrowers for whom claims have been paid on Federal Insured Student Loans.

Categories of records in the system: Contains names, social security numbers, addresses of defaulted borrowers. Contains claim numbers, amounts of claim to include interest and lender/school identifications.

Authority for maintenance of the system: Higher Education Act of 1975, Title IV-B, as amended, (20 U.S.C. 1071-1087-1).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To contractors for issuance of collection letters; to credit company contractors for skip tracing, in-file history information, assets and ability to pay; to Internal Revenue Service for last known address; to Postal Service for last known address; to General Accounting Office for possible re-litigation collection service and audit; to Department of Justice for possible legal action; to Federal Bureau of Investigation in per-

formance of investigation into possible fraud cases; to State Department of Motor Vehicles for last known address; to State Bureau of Vital Statistics for verification of death; to mortgage companies for credit checks; to educational agencies or institutions against which a complaint has been made; to other lenders in the program making inquiries about the defaulted students who may have been denied additional loans; to other Federal agencies requesting information as to the repayment history of the defaulted account; to the State Department for last known address abroad; to contractors to update records and correct errors; to state guarantee agencies requesting student borrower information; and for uses 1,3, 4,5,6,8 and 9 in Appendix B of the Departmental Regulations (45 CFR Part 5b). Disclosure may be made to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: The file is maintained on magnetic tape/disk packs in a library room area at the above named locations.

Retrievability: The file is indexed by social security number. Data are utilized to provide OGSL program staff with statistical and managerial reports; to provide the DHEW - Office of General Counsel and the DHEW - Office of Investigations and Security with data in possible cases of fraud or irregularities. Other uses by OGSL staff are to identify defaulted claims in delinquent status; to contact defaulted borrowers to encourage repayment of claim disbursed by U.S. Government; to take follow-up action on delinquent defaulted accounts; to update records and correct errors.

Safeguards: OGSL screening of authorized contractual personnel. Exception: subject to disclosure requirements of the Privacy Act.

Retention and disposal: Retained indefinitely.

System manager(s) and address:

Director, Program Systems Division
Office of Guaranteed Student Loans
Room 4636, GSA-Regional Office Building
7th and D Streets, S.W.
Washington, D.C. 20202

Notification procedure: Contact system manager for general inquiries supplying name, date of birth and social security number (at the above address).

Record access procedures: Same as above.

Contesting record procedures: Contact system manager, above.

Record source categories: Information is obtained from applications, correspondence, medical records, necessary legal documentation, and reports from borrowers and their families, acquaintances, lenders, schools, medical reports, employers, credit agencies, and federal and state governmental agencies.

Systems exempted from certain provisions of the act: None.

09-40-0029

System name: Guaranteed Student Loan Program--Inactive Loan Control Master File. HEW E.

Security classification: None.

System location:

115 Evergreen Heights Dr.
Pittsburgh, PA 15229

Categories of individuals covered by the system: Students having participated in Guaranteed Student Loan Program and purged from primary Loan Control Master File.

Categories of records in the system: Contains name, social security number, demographic background, educational status, loan status and family financial information of individual for whom the record was maintained.

Authority for maintenance of the system: Higher Education Act of 1965, Title IV-B, as amended, (20 U.S.C. 1071-1087-1).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To contractors for issuance of collection letters; to credit company contractors for skip tracing, in-file history information, assets and ability to pay; to Internal Revenue Service for last known address; to Postal Service for last known address; to General Accounting Office for possible pre-litigation collection service and audit; to Department of Justice for possible legal action; to Federal Bureau of Investigation in performance of investigation into possible fraud cases; to State Department of Motor Vehicles for last known address; to State Bureau of Vital Statistics for verification of death; to mortgage companies for credit checks; to educational agencies or institutions against which a complaint has been made; to other lenders in the program making inquiries about the defaulted students who may have been denied additional loans; to other Federal agencies requesting information as to the repayment history of the defaulted account; to the State Department for last known address abroad; to requesting student borrower information; and for uses 1,3,4,5,6,8 and 9 in Appendix B of the Departmental Regulations (45 CFR Part 5b). Disclosure may be made to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: The file is maintained on magnetic tape/disk packs in a library room area at the above named locations.

Retrievability: The file is indexed by social security number. Data are utilized to provide OGSL program staff with statistical and managerial reports. Other uses by OGSL staff are to obtain loan data on former student loan borrowers; update records and correct errors.

Safeguards: OGSL screening of authorized contractual personnel. Exception: subject to disclosure requirements of the Privacy Act.

Retention and disposal: Retained indefinitely.

System manager(s) and address:

Director, Program Systems Division
Office of Guaranteed Student Loans
Room 4636, GSA-Regional Office Building
7th and D Streets, S.W.
Washington, D.C. 20202

Notification procedure: Contact system manager for general inquiries supplying name, date of birth, and social security number (at the above address).

Record access procedures: Same as above.

Contesting record procedures: Contact system manager, above.

Record source categories: Information is obtained from applications, correspondence, medical records, necessary legal documentation, and reports from borrowers and their families, acquaintances, lenders, schools, medical reports, employers, credit agencies, and Federal and State governmental agencies.

Systems exempted from certain provisions of the act: None.

09-40-0030

System name: Guaranteed Student Loan Program--Loan Control Master File. HEW E.

Security classification: None.

System location:

115 Evergreen Heights Dr.
Pittsburgh, PA 15229

Categories of individuals covered by the system: Students applying for guaranteed student loans or having received educational loans under the provisions of the Guaranteed Student Loan Program.

Categories of records in the system: Contains name, social security number, demographic background, educational status, loan

status and family financial information of individual for whom the record is maintained. Contains lender and school identification.

Authority for maintenance of the system: Higher Education Act of 1965, Title IV-B, as amended, (20 U.S.C. 1071-1087-1).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To schools and lenders for loan status information and record reconciliation; to borrowers and applicants for status of loan applications; to contractors for updating program records and processing documents; to State Guarantee Agencies for loan status information. To an educational agency or lending institution against which a complaint has been made; and for uses 1,3,4,5,6,8 and 9 in Appendix B of the Departmental Regulations (45 CFR Part 5b). Disclosure may be made to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: The file is maintained on magnetic tape/disk packs in a library room area at the above named location.

Retrievability: The file is indexed by social security number. Data are utilized to provide OGSL program staff with statistical and managerial reports. Other uses by OGSL staff are to identify students participating in the Guaranteed Student Loan Program; determine eligibility of loan application; reflect eligibility for interest benefits; determine loan status of borrower; compute insurance premium for Federally Insured Loans; compile and generate managerial and statistical reports; research records for inquiry responses; reflect interest rates for individual loans; update file and correct errors.

Safeguards: OGSL screening of authorized contractual personnel. Exception: subject to disclosure requirements of the Privacy Act.

Retention and disposal: Retained indefinitely.

System manager(s) and address:

Director, Program Systems Division
Office of Guaranteed Student Loans
Room 4636, GSA-Regional Office Building
7th and D Streets, S.W.
Washington, D.C. 20202

Notification procedure: Contact system manager for general inquiries supplying name with date of birth, and social security number (at the above address).

Record access procedures: Same as above.

Contesting record procedures: Contact system manager, above.

Record source categories: Information is obtained from applications, correspondence, medical records, necessary legal documentation, and reports from borrowers and their families, lenders, schools, medical reports, employers, credit agencies, and Federal and State governmental agencies.

Systems exempted from certain provisions of the act: None.

09-40-0031

System name: Guaranteed Student Loan Program--Pre Claims Assistance. HEW E.

Security classification: None.

System location:

5000 Arlington Centre Blvd.
Columbus, Ohio 43220

115 Evergreen Heights Dr.
Pittsburgh, PA 15229

Categories of individuals covered by the system: Students reported by lending institutions to be delinquent on their educational loans.

Categories of records in the system: Contains name of student, social security number, address, amount of outstanding loans including interest. Name and address of parent or nearest relative, record of actions taken.

Authority for maintenance of the system: Higher Education Act of 1965, Title IV-B, as amended, (20 U.S.C. 1071-1087-1).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To contractors for issuance fo collection letters; to credit company contractors for skip tracing, in-file history information, assets and ability to pay; to Internal Revenue Service for last known address; to Postal Service for last known address; to General Accounting Office for possible pre-litigation collection service and audit; to Department of Justice for possible legal action; to Federal Bureau of Investigation in performance of investigation into possible fraud cases; to State Department of Motor Vehicles for last known address; to State Bureau of Vital Statistics for verification of death; to mortgage companies for credit checks; to educational agencies or institutions against which a complaint has been made; to other lenders in the program making inquiries about the defaulted students who may have been denied additional loans; to other Federal agencies requesting information as to the repayment history of the defaulted account; to the State Department for last known address abroad; to contractors to update records and correct errors; to State Guarantee Agencies requesting student borrower information; and for uses 1,3,4,5,6,8 and 9 in Appendix B of the Departmental Regulations (45 CFR Part 5b). Disclosure may be made to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: The file is maintained on magnetic tape/disk packs in a library room area at the above named locations.

Retrievability: The file is indexed by social security number. Data are utilized to provide OGSL program staff with statistical and managerial reports; to provide the DHEW - Office of Investigations and Security with data in possible cases of fraud or irregularities. Other uses by OGSL staff are to identify delinquent borrowers; locate and contact delinquent borrowers; maintain current address of delinquent borrowers; assist lending institutions in having delinquent borrowers commence repayment of educational loan; update records and correct errors.

Safeguards: OGSL screening of authorized contractual personnel. Exception: subject to disclosure requirements of the Privacy Act.

Retention and disposal: Retained indefinitely.

System manager(s) and address:

Director, Program Systems Division
Office of Guaranteed Student Loans
Room 4636, GSA-Regional Office Building
7th and D Streets, S.W.
Washington, D.C. 20202

Notification procedure: Contact system manager for general inquiries supplying name with date of birth and social security number (at the above address).

Record access procedures: Same as above.

Contesting record procedures: Contact system manager, above.

Record source categories: Information is obtained from applications, correspondence, medical records, necessary legal documentation, and reports from borrowers and their families, lenders, schools, medical reports, employers, credit agencies, and Federal and State governmental agencies.

Systems exempted from certain provisions of the act: None.

09-40-0032

System name: Record of advances of funds for employees traveling for the Office of Education -- (SF-1038, Application and Account for Advance of Funds). HEW E.

Security classification: None.

System location:

Room 3105, Federal Office Building
400 Maryland Avenue, S.W.
Washington, D.C. 20202

Categories of individuals covered by the system: Employees of the Office of Education (including consultants) who have requested advances of funds for travel on official business.

Categories of records in the system: Name, social security number, home and/or business address, amount of travel advance requested, amount actually paid, and unliquidated balance, if any.

Authority for maintenance of the system: 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: For audit by U.S. General Accounting Office (GAO). Disclosure may be made to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: The records are maintained in card format and are stored in file cabinets.

Retrievability: Records are indexed by name of individual requesting advance of funds. Records are available to employees of the Finance Division, Office of Education in performance of accounting functions and to the individual to whom funds were advanced.

Safeguards: Direct access is restricted to authorized agency staff in performance of official duties. Maintained in locked file cabinets. Exception: Subject to disclosure requirements of the Privacy Act.

Retention and disposal: Retained four years or until audit by the U.S. General Accounting Office, whichever is earlier. Disposed of by maceration.

System manager(s) and address:

Director, Finance Division
U.S. Office of Education
Room 3105, Federal Office Building
400 Maryland Avenue, S.W.
Washington, D.C. 20202

Notification procedure: System Manager (see above) will respond to inquiries.

Record access procedures: Same as above.

Contesting record procedures: Contact system manager, above.

Record source categories: Travelers who complete Form OE 1038. (see system name, above).

Systems exempted from certain provisions of the act: None.

09-40-0033

System name: Office of Education Financial Management Information System. HEW E.

Security classification: None.

System location:

Room 3105, Federal Office Building
400 Maryland Avenue, S.W.
Washington, D.C. 20202

Categories of individuals covered by the system: Office of Education employees, consultants, contractors, advisory committee members and other individuals performing personal services for the Office.

Categories of records in the system: Name, address, social security number of individuals and employer identification number of companies; indicating the cost of service(s) provided.

Authority for maintenance of the system: 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Maintained on magnetic tape and microfilm and stored in file cabinets.

Retrievability: Records are indexed by social security and employer identification number. Records are available to employees of the Finance Division, Office of Education in performance of accounting-related functions.

Safeguards: Direct access restricted to authorized agency staff in performance of official duties. Exception: Subject to disclosure requirements of the Privacy Act.

Retention and disposal: File constantly updated. Records maintained for ten years.

System manager(s) and address:

Director, Finance Division
U.S. Office of Education
Room 3105, Federal Office Building
400 Maryland Avenue, S.W.
Washington, D.C. 20202

Notification procedure: System Manager (see above) will respond to inquiries.

Record access procedures: Same as above.

Contesting record procedures: Contact System Manager, above.

Record source categories: Office of Education employees and others, including consultants, performing personal services for the Office.

Systems exempted from certain provisions of the act: None.

09-40-0034

System name: Teacher Corps Application File. HEW E.

Security classification: None.

System location:

311 South Spring Street
Los Angeles, California 90013

2978 West Grand Boulevard
Detroit, Michigan 48202

1411 K Street N.W., Suite 420
Washington, D.C. 20005

Categories of individuals covered by the system: People who submit applications to be members (interns and team leaders) of Teacher Corps projects.

Categories of records in the system: An application form containing basic demographic data, education and employment histories and motivation statements, and any other information provided by the applicant is filed alphabetically by name in the Center to which it is sent by the applicant.

Authority for maintenance of the system: 20 U.S. Code, Sections 1101 through 1107a.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To Teacher Corps project grantees who are considering the applicants for selection as interns or team leaders. To State departments of education for verification of eligibility of the applicant for teacher certification pro-

grams. When requested by applicant, to potential employers or managers of other teacher training or social service programs. Disclosure may be made to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: The profile sheets are kept in a file cabinet.

Retrievability: Files are established when each application is received and placed alphabetically in file cabinets. Recruitment Center staff analyze the data on the application forms, prepare a summary sheet, and either notify applicant of ineligibility for Teacher Corps membership, or refer them to the local selection panels for which they would qualify. These Center staff refer to these files in answering subsequent inquiries concerning application status from Teacher Corps projects and from applicants.

Safeguards: Direct access is limited to Recruitment and Technical Resources Center staff and to national office Teacher Corps staff. Access to room in which file cabinet is maintained is limited during non-working hours to those with keys to the room. Exception: subject to disclosure requirements of the Privacy Act.

Retention and disposal: Applications are held for one year, being disposed of when selections are completed annually by all new Teacher Corps projects. Disposal is through regular refuse services.

System manager(s) and address:

Chief, Management Branch, Teacher Corps
U.S. Office of Education
400 Maryland Avenue, S.W.
Washington, D.C. 20202

Notification procedure: System manager (see above) will respond to inquiries, or applicants can write directly to the Center to which the application was originally sent. Requesters should list their name and address and the date of their application for membership in Teacher Corps.

Record access procedures: See above.

Contesting record procedures: See above.

Record source categories: All information on the application form is provided by the applicant.

Systems exempted from certain provisions of the act: None.

09-40-0036

System name: Oral History of the Office of Education as dictated by former Commissioners of Education. HEW E.

Security classification: None.

System location:

400 Maryland Avenue, S.W.
Washington, D.C. 20202

Categories of individuals covered by the system: Living former U.S. Commissioners of Education.

Categories of records in the system: Information about the individual's life as commissioner and about OE during his term of office.

Authority for maintenance of the system: 44 USC 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To those involved in publishing (including the Government Printing Office) for production of final document; to the Department of Justice for Freedom of Information Act consultation; under subpoena by any administrative agency. To answer inquiries from the National Archives, and from government libraries. For uses 1,2,3,5,6,8,9,101,102 in Appendix B of the Departmental Regulations (45 Code of Federal Regulations Part 5b). Disclosure may be made to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: The records are maintained on paper and on magnetic tape and are filed in a standard file cabinet.

Retrievability: By name by the system manager or staff for the purpose of obtaining the approval of former commissioners; after approval and release by former commissioners the records may be retrieved as historical documents by system manager or staff.

Safeguards: Records may be placed in the National Archives under seal upon threat of disclosure. Exceptions: Subject to disclosure requirements of Privacy Act.

Retention and disposal: All background material will be disposed of 5 years after publication of the final document. The records may be destroyed by maceration, burning, or other appropriate means.

System manager(s) and address:

Assistant Commissioner for Legislation
Office of Legislation
400 Maryland Avenue, SW, Room 4131
Washington, D.C. 20202

Notification procedure: System manager (see above) will respond to inquirers. Individual must provide system I.D. number and name.

Record access procedures: Contact system manager.

Contesting record procedures: Same as above.

Record source categories: Information provided by the individual himself and records and documents provided by him during interviews. Information is transcribed as approved by individual.

Systems exempted from certain provisions of the act: None.

09-40-0044

System name: Insurance Claim File Guaranteed Student Loan Program. HEW E.

Security classification: None.

System location: See Appendix EOE 2.

Categories of individuals covered by the system: GSLP student loan borrowers on whose accounts the Federal Government has been requested to pay a claim by lenders, because of default, bankruptcy, death or disability.

Categories of records in the system: Loan history, including name, social security number, and last known address of borrower, date borrower ceased at least half-time study, reason for claim, date first payment due, date and amount of loan, and amount of claim. Loan documents, including Promissory Notes, disclosure statements, repayment agreements, payment history, student loan application and copies of correspondence between lender and borrower.

Authority for maintenance of the system: P.L. 89-329 and P.L. 89-508 (20 U.S.C. 1071 through 1089).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To the Department of Justice for possible legal action, to the Department of Justice for Freedom of Information Act consultation; and to General Accounting Office auditors checking program operation. Disclosure may be made to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Records are maintained in paper files, in file cabinets.

Retrievability: By name and batch number the files are used by the Claims Examiners to provide documentation on insurance claims by lenders on the Federal Government. The copies are retained for recordkeeping and cross-referencing purposes. Records are available to regional collection staff to aid them in locating borrowers and setting up repayment schedules. They are also available to HEW auditors checking program operation.

Safeguards: Records are stored in locked file cabinets or in locked rooms after working hours with access by authorized agency personnel. Exception: Subject to disclosure requirements of Privacy Act.

Retention and disposal: Claim files are retained pending payment of claims which usually takes 60 to 90 days. When paid, the files are transferred to the collection staff in the appropriate regional office, depending on the present location of the borrower. The alphabetical and batch files are retained for five (5) years beyond payment of claim. Disposal by maceration.

System manager(s) and address: See Appendix EOE 2.

Notification procedure: See System manager; address as indicated to Appendix EOE 2, inquiries should be addressed to the System Manager in the region in which the inquirer resides (e.g., Florida resident will address Region IV System Manager). Provide System ID number and System name. Also provide the name, address and social security number of the individual inquiring about his/her record.

Record access procedures: Contact system manager.

Contesting record procedures: Contact system manager.

Record source categories: Participating lenders and individual borrowers.

Systems exempted from certain provisions of the act: None.

APPENDIX E OE 2

Guaranteed Student Loan Program, Claim and Collection Record Location and System Manager

Region I: Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont

Director, Guaranteed Student Loan Program
P. O. Box 8370
Boston, Massachusetts 02114

Region II: New Jersey, New York, Puerto Rico, Virgin Islands

Director, Guaranteed Student Loan Program
Office of Education/DHEW
26 Federal Plaza Room 406
New York, New York 10007

Region III: Delaware, Maryland, Pennsylvania, Virginia, Washington, D.C., West Virginia

Director, Guaranteed Student Loan Program
Office of Education/DHEW
3535 Market Street Room 16200
Philadelphia, Pennsylvania 19104

Region IV: Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee

Director, Guaranteed Student Loan Program
Office of Education/DHEW
50 Seventh Street, N.E. Room 513
Atlanta, Georgia 30323

Region V: Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin

Director, Guaranteed Student Loan Program
Office of Education/DHEW
300 South Wacker Drive, 32nd Floor
Chicago, Illinois 60606

Region VI: Arkansas, Louisiana, New Mexico, Oklahoma, Texas

Director, Guaranteed Student Loan Program
Office of Education/DHEW
1114 Commerce Street
Dallas, Texas 75202

after November 1, 1975
Director, Guaranteed Student Loan Program 1200 Main Street
Dallas, Texas 75202

Region VII: Iowa, Kansas, Missouri, Nebraska

Director, Guaranteed Student Loan Program
Office of Education/DHEW
Federal Office Building, Room 360
601 East 12th Street
Kansas City, Missouri 64106

Region VIII: Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming

Director, Guaranteed Student Loan Program
Office of Education/DHEW
Federal Office Bldg., Room 3444A
1961 Stout Street
Denver, Colorado 80202

Region IX: Arizona, California, Hawaii, Nevada, American Samoa, Trust Territory of the Pacific, Guam, Wake Islands

Director, Guaranteed Student Loan Program
Office of Education/DHEW, Room 240
50 Fulton Street
San Francisco, California 94102

Region X: Alaska, Idaho, Oregon, Washington

Director, Guaranteed Student Loan Program
Office of Education/DHEW
Arcade Plaza Building Room 515
1321 Second Avenue
Seattle, Washington 98101

09-40-0045

System name: Guaranteed Student Loan Program Collection Files. HEW E.

Security classification: None.

System location: See Appendix EOE 2.

Categories of individuals covered by the system: Defaulted borrowers under the Guaranteed Student Loan Program by regional office.

Categories of records in the system: Name, address, social security number, postsecondary school, student application, collection and repayment history with both lender and Office of Education, skip tracing information, borrower's financial ability and willingness to pay, claim for insurance reimbursement, disclosures, forebearance and deferment documents, promissory notes; correspondence between lender and borrower, borrower and OE, borrower and school, OE and school, and between OE and relatives; collector's notes, Department of Motor Vehicles reports, IRS listing of last known address, and reports of credit investigations.

Authority for maintenance of the system: P.L. 89-329 and P.L. 89-508. (20 U.S.C. 1071 through 1089).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To computer contractors for issuance of computerized collection letters; to credit company contractors for skip tracing, in-file history information, assets and ability to pay; to U.S. Internal Review Service for last known address; to U.S. Postal Service for last known address; to U.S. General Accounting Office for possible pre-litigation collection service; to U.S. Department of Justice for possible legal action; to U.S. Federal Bureau of Investigation in performance of investigation into possible fraud cases; to State Department of Motor Vehicles for last known address; to State Bureaus of Vital Statistics for verification of death; to mortgage companies for credit checks, to educational agencies or institutions against which a complaint has been made; to other guaranteed student loan lenders making inqui-

ries concerning the defaulted students who may have been denied additional loans; to other Federal agencies requesting information as to the repayment history of the defaulted account; to General Accounting Office for discharge of authorized functions and routine uses as set forth in Appendix B 1, 3, 4, 5, 6, 7, 8, 9, and 103, 45 Code of Federal Regulations, Part 5 B. Disclosure may be made to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Paper files; stored in file cabinets.

Retrievability: By name. Records are available to GSLP staff for administration of collection responsibilities, used as feeder information in skip tracing, available to HEW Auditors for possible audit, to HEW Counsels on resolving legal questions, to HEW Investigator for investigation of fraud possibilities.

Safeguards: Records are stored in locked file cabinets or in locked rooms after working hours with access by authorized agency personnel. Exception: subject to disclosure requirements of the Privacy Act.

Retention and disposal: Records are maintained five (5) years beyond the closing of the case. Disposal by maceration.

System manager(s) and address: See Appendix EOE 2.

Notification procedure: See System manager; address as indicated in Appendix EOE 2, inquiries should be addressed to the System Manager in the region in which the inquirer resides (e.g. Florida resident will address Region IV System Manager). Provide System ID number and System name. Also provide the name, address and social security number of the individual inquiring about his/her record.

Record access procedures: Contact system manager.

Contesting record procedures: Contact system manager.

Record source categories: From the original lender, student loan application, school attended and the student borrower.

Systems exempted from certain provisions of the act: None.

09-40-0048

System name: Participants in ESEA Title VII Bilingual Education Program National Impact Evaluation of Elementary Programs - HEW/E.

Security classification: None.

System location:

P.O. Box 1113
1791 Arastradero Road
Palo Alto, California 94302

Categories of individuals covered by the system: Elementary school students in grades 2, 3, 4, 5, and 6 during school year 1975-76 (and possibly 1976-77) in schools participating in the evaluation of ESEA Title VII bilingual elementary programs.

Categories of records in the system: Name, school, grade, name of teacher, school district, scores of pre-and/or post tests in English language, Spanish language, and mathematics, and attitudes/motivation.

Authority for maintenance of the system: Section 417 of the General Education Provisions Act as amended (20 USC 1226b) and Section 731(c) of The Bilingual Education Act (20 USC 880 b-10c).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: For use 9 in Appendix B of the Departmental Regulations (45 CFR 5b). Student achievement test scores to appropriate school districts for their own internal project evaluation. Disclosure may be made to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: The records are maintained on paper and on magnetic tape and are stored in locked metal filing cabinets.

Retrievability: Student name and ID number are kept in one file. In a separate file, the data base itself is kept; data are indexed by Student ID number only. These data contain further identifiers based on district, school building, grade and classroom. A separate file will indicate what kinds of data were collected on the total student population at different points in time. The data base file consists of computer tapes. Test instruments will be kept stored separately, indexed by type of data, district, school building, grade and classroom. Retrieval by Contractor for purposes of analysis and further data collection. Retrieval may be done by Contractor for System Manager for purposes consistent with this evaluation and the Privacy Act.

Safeguards: The student name and ID number 'link' file is kept separately from the data base. Access to this file, which is kept under lock, is restricted to the data base manager and to senior project staff, i.e., the project director and the principal investigator. The 'link' file will be utilized only during the data-collection and data-analysis phases and will be destroyed once the data analysis for the study has been completed. Exception: Subject to disclosure requirements of the Privacy Act. Before any data are released by the Contractor to the Government, not only will the link file be destroyed, but entirely new randomly assigned code numbers will be applied to each student data record. It will be done in such a way that not even the district from which the student's record comes will be identifiable. This will eliminate any possible remaining connection between student name on the one hand and the student records provided to the Government on the other hand.

Retention and disposal: All data will be destroyed upon completion of contract requirements. Paper files will be destroyed by maceration and magnetic tapes will be erased.

System manager(s) and address:

Program Officer
Bilingual Impact Evaluation
U.S. Office of Education
Room 3044 FOB-6, 400 Maryland Avenue, S.W.
Washington, D.C. 20202

Notification procedure: System manager (see above) will respond to inquirers. Individual must provide student name, district name, school, name of teacher, dates on which student was a participant in project, system name and ID number.

Record access procedures: Contact System Manager.

Contesting record procedures: Contact system manager.

Record source categories: Data are obtained from tests administered to students.

Systems exempted from certain provisions of the act: None.

09-40-0049

System name: Interpreters of the Deaf, National Advisory Committee on the Handicapped. HEW E.

Security classification: None.

System location:

Room 4121 Donohoe Building
400 6th Street, S.W.
Washington, D.C. 20202

Categories of individuals covered by the system: Interpreters of the Deaf used by the Office of Education.

Categories of records in the system: Name, address, social security number (for pay purposes), phone number, correspondence, background information, requisition of services.

Authority for maintenance of the system: Section 12(b) of the Federal Advisory Committee Act (P.L. 92-463).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: This system is used by authorized agency officials and employees as a reference file of available interpreters for the deaf for use at meetings. Disclosure may be made to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: System is maintained in paper files and stored in file cabinet.

Retrievability: This system is accessed by area of expertise and then by name and is used to obtain the necessary interpreters for the deaf person(s) attending meetings.

Safeguards: System is available only to Office of Education staff briefed on use of system. 'Exception: Subject to disclosure requirements of Privacy Act.'

Retention and disposal: Continuing records, updated periodically.

System manager(s) and address:

Executive Secretary
National Advisory Committee on the Handicapped
Bureau of Education for the Handicapped
Room 4121 Donohoe Building
400 Maryland Avenue, S.W.
Washington, D.C. 20202

Notification procedure: System manager (see above) will respond to inquiries. Requestor should provide name, address, system I.D. and system name.

Record access procedures: Contact System Manager.

Contesting record procedures: Contact System Manager.

Record source categories: Individual data subject himself (interview by phone) and by other interpreters of the deaf.

Systems exempted from certain provisions of the act: None.

09-40-0050

System name: Presidential Scholars Files of Selected Participants. HEW E.

Security classification: None.

System location:

Room 3831 Donohoe Building
6th and D, S.W.
Washington, D.C. 20202

Categories of individuals covered by the system: Selected Participants for the Presidential Scholars Program 1964-1975.

Categories of records in the system: Name, address, biographical information supplied by student.

Authority for maintenance of the system: Executive Order No. 11155, Sec. 4.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To Commission on Presidential Scholars for historical archives and current data to be used for annual selection of scholars; to authorized agency officials and employees as well as contracting officers which change yearly for arrangements for Presidential Scholars activities during their visit to Washington, D.C. to authorized agency officials and employees for public affairs, press releases, etc. Disclosure may be made to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Records are kept in file cabinets in paper files.

Retrievability: By name, state, and year of selection.

Safeguards: Used only by authorized personnel for specific purposes with permission of individual whose name is on file.

Retention and disposal: Records are maintained indefinitely.

System manager(s) and address:

Deputy Director, Office of Gifted and Talented
Office of Education
Room 3831 Donohoe Building
400 Maryland Avenue S.W.
Washington, D.C. 20202

Notification procedure: Contact system manager. Requester should provide name, address, system I.D., and system name.

Record access procedures: Contact system manager.

Contesting record procedures: Contact system manager.

Record source categories: Individual data subject himself by questionnaire. Records of College Entrance Examination Board containing information about the data subject individual from their test performance and their answers to questionnaires. Recommendations from school principal with permission of data subject.

Systems exempted from certain provisions of the act: None. forms. References are submitted on approved forms.

Systems exempted from certain provisions of the act: None.

09-40-0070

System name: Alcohol and Drug Education Program--List of National Action Committee for Drug Abuse Education Consultants. HEW E.

Security classification: None.

System location:

National Action Committee for Drug Education
110 Wilder Tower
University of Rochester
Rochester, New York 14627

Categories of individuals covered by the system: Experts in the field of drug and alcohol education who are available to provide technical assistance to USOE projects, upon request from the National Action Committee (technical assistance contractor to OE).

Categories of records in the system: Name, address and title of individual, brief description of area of special expertise.

Authority for maintenance of the system: Alcohol and Drug Abuse Education Act, P.L. 9-527 as amended (20 U.S.C. 1001).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine use of records maintained in the system, including categories of users and the purposes of such uses: For uses 1, 3, 5, 6, 8 and 9 of Appendix of Routine Uses. Disclosure may be made to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: The list of consultants is maintained in a paper file in a standard file cabinet.

Retrievability: On the roster, names are listed alphabetically. The list is available to in-house program staff involved in correspondence withi and monitoring of National Action Committee contract.

Safeguards: Direct access is limited to Drug Education Program Staff; access to room in which file cabinet is maintained is limited during non-working hours to those with keys to the room.

Retention and disposal: List of consultants is updated annually; names of individuals no longer available to act as consultants are no longer maintained.

System manager(s) and address:

Director, Alcohol and Drug Education Program
Room 2049, FOB 6
400 Maryland Avenue, S. W.
Washington, D. C. 20202

Notification procedure: System manager will respond to inquirers.

Record access procedures: See above.

Contesting record procedures: Contact system manager above.

Record source categories: Individuals are contacted by the NAC to determine their interest and willingness to act as NAC consultants. All data are submitted voluntarily by those interested individuals.

Systems exempted from certain provisions of the act: None.

09-40-0075

System name: Women in Executive Positions in Higher Education.

Security classification: None.

System location:

Room 3060
GSA-Regional Office Building 03
Washington, D. C. 20202

Categories of individuals covered by the system: Possible consultants and position applicants.

Categories of records in the system: Records include: vitae on all women who qualify for positions in or concerning higher education.

Authority for maintenance of the system: Title IX, Education Amendments of 1972.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: For routine uses set forth in Appendix B to 45 Code of Federal Regulation, Part 5b. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Records are maintained in hard copy in standard file cabinets.

Retrievability: Records are indexed by name and by academic field and are available only to specifically designated staff.

Safeguards: Access is restricted to authorized OE Staff.

Retention and disposal: Records are maintained indefinitely.

System manager(s) and address:

Director, College and University Unit
400 Maryland Avenue, S. W.
Washington, D. C. 20202

Notification procedure: Contact System Manager.

Record access procedures: Contact System Manager.

Contesting record procedures: Contact System Manager.

Record source categories: Information is obtained directly from individuals wishing to be included in the Directory.

Systems exempted from certain provisions of the act: None.

09-40-0077

System name: Institutional Application to Participate in Federal Student Financial Aid Programs Regional Review Panel HEW-E.

Security classification: None.

System location:

26 Federal Plaza, Rm. 3954
New York, New York 10007

Categories of individuals covered by the system: Practicing Financial Aid Officers and other Experts in the field of Student Financial Aid.

Categories of records in the system: Field Reader Contracts, Vitas and Travel Vouchers.

Authority for maintenance of the system: Higher Education Act of 1965, as amended 20 USC 1070b-3.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To Convene for purposes of review of applications submitted by post-secondary institutions and submitting recommendations to the Regional Office. Disclosure may be made to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Paper files maintained in standard file cabinet.

Retrievability: Name. By authorized Program Officers.

Safeguards: Stored in locked room.

Retention and disposal: Destroyed at the end of two (2) year panelists service cycle.

System manager(s) and address:

Senior Program Officer, Student Financial Aid
U.S. Office of Education
26 Federal Plaza
New York, NY 10007

Notification procedure: System manager (see above) will respond to inquirers.

Record access procedures: (See above).

Contesting record procedures: System Manager.

Record source categories: Educational Institutions.

Systems exempted from certain provisions of the act: None.

09-40-0078

System name: Fellowships for Indian Students--Applications and Awards. HEW E.

Security classification: None.

System location:

Room 2160, FOB-6
7th and D Streets SW
Washington, D.C. 20202

Categories of individuals covered by the system: American Indians who have been accepted by institutions of higher education in a program leading to a professional or graduate degree in law, medicine, engineering, business, forestry, or a related field, and who have applied to OE's Office of Indian Education for a fellowship.

Categories of records in the system: Name, address, phone number, date and place of birth, tribal affiliation, tribal roll number, social security number, sex, marital status, citizenship, names of dependents, educational background, employment background, educational transcripts, references, language abilities, admission test scores.

Authority for maintenance of the system: Indian Education Act of 1972, as amended, P.L. 92-318, Part B, Section 423.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: For routine uses set forth in Appendix B to 45 Code of Federal Regulations Part 5b, numbers one through nine; for Field Readers for the purposes of determining eligibility and recommending awardees; selected data for developing brochures describing the fellows and their career goals for public information purposes; and to congressional offices in response to inquiries from those offices made at the request of individuals on whom records are kept. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: The records are maintained in hard-copy filed in locked standard file cabinets.

Retrievability: Records are accessed by individual names only by authorized OE staff and Field Readers for the purposes of: determining eligibility; selecting fellows; establishing allowances for stipends, dependents, tuition, and other expenses; determining continued eligibility; and developing profile information regarding recipients of fellowships for program evaluation, planning, reporting and publicity purposes.

Safeguards: Direct access is restricted to authorized OE staff. Exception: Subject to disclosure requirements of Privacy Act.

Retention and disposal: Records on fellowship holders are sent to the Federal Records Center six months after final payment. They are destroyed by the Federal Records Center three years after final payment. Records on alternatives are maintained for two years. They are then sent to the Federal Records Center where they are destroyed one year later. Application forms from applicants not selected as fellows or alternates are returned to the applicant. Other records on these applicants, containing information on the selection procedure, are maintained for one year, and then thrown away.

System manager(s) and address:

Director, Division of Special Projects and Programs
Office of Indian Education
400 Maryland Avenue SW
Room 2160, FOB-6
Washington, D.C. 20202

Notification procedure: Contact system manager.

Record access procedures: Contact system manager.

Contesting record procedures: Contact system manager.

Record source categories: Information is submitted by the individual applicant on approved forms. References are submitted on approved forms.

Systems exempted from certain provisions of the act: None.

09-40-0079

System name: Potential and Actual Consultant, Field Reader, and Site Visitor Files, Indexes, and Lists HEW E OE.

Security classification: None.

System location: See Appendix I.

Categories of individuals covered by the system: Actual and prospective consultants, field readers, or site visitors used by the Office of Education to evaluate grant proposals, performance of grantees or contractors.

Categories of records in the system: Names of consultant, field reader, and site visitor addresses, position, institutional affiliation (if any), curriculum vitae (where necessary), social security number for reimbursement purposes reimbursement information, areas of individual expertise, tracking of assignments and appraisal of effort.

Authority for maintenance of the system: (20 USC 1221e-3). Information is provided by persons interested in participating on a voluntary basis.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To general public, on request, list of names and business addresses of potential and/or actual consultants, field readers, or site visitors. For uses 1,3,4,5,6, 7,8 and 9 as stated in Appendix B, 45CFR Part 5b. Disclosure may be made to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: File folders in file cabinets or card files with pertinent data, and (in limited locations) computer data base tapes and disks.

Retrievability: By name, expertise, or social security number of potential or actual consultant, reader, or site visitor. Records are used to ensure that a fair, equal, and qualified group of consultants, readers, or site visitors is selected to review proposals or evaluate performances.

Safeguards: Direct access is restricted to persons designated by systems managers to be responsible for maintenance of file or selection of panels of consultants, readers, or site visitors. Automated locations are protected by password protect and key lock on terminal.

Retention and disposal: Destroy after five years (Item 25 OE Records Control Schedule).

System manager(s) and address: See Appendix I.

Notification procedure: Contact system manager of pertinent organizational component(s). Provide name and approximate date of previous correspondence. Additional verifying data (such as birthdate, home address) may be requested.

Record access procedures: Contact system manager as above.

Contesting record procedures: Contact system manager as above.

Record source categories: Information forwarded voluntarily by individuals interested in serving as consultants, readers, or site visitors, obtained by contacting individuals with specific expertise in the pertinent discipline of each system manager.

Systems exempted from certain provisions of the act: None.

APPENDIX I

Director, Office of Gifted and Talented
Room 3831 Donohoe Building
400 Maryland Avenue, S.W.
Washington, D.C. 20202

Program Manager, Handicapped Research Program
Room 3165 Donohoe
400 6th Street, S.W.
Washington, D.C. 20202

Program Manager, Learning Disabilities Program
Room 3127 Donohoe Building
400 Maryland Avenue, S.W.
Washington, D.C. 20202

Executive Officer, Bureau of Education for the Handicapped
Room 4030, Donohoe Building
400 Maryland Avenue, S.W. Washington, D.C. 20202

Director, Division of Local Educational Agency Assistance
Room 2167, FOB-6
400 Maryland Avenue, S.W.
Washington, D.C. 20202

Director, Division of Special Projects and Programs
Room 2161, FOB-6
400 Maryland Avenue, S.W.
Washington, D.C. 20202

Director, Division of Training and Facilities
Room 3066, ROB-3
400 Maryland Avenue, S.W.
WAshington, D.C. 20202

Director, Division of International Education
Room 3907, ROB-3
400 Maryland Avenue, S.W.
Washington, D.C. 20202

Director, Division of Institutional Development
ROom 3052, ROB-3
400 Maryland Avenue, S.W.
Washington, D.C. 20202

Director, Community College Unit
Room 3044, ROB-3
400 Maryland Avenue, S.W.
Washington, D.C. 20202

Director, Office of Environmental Education
Room 2025
400 Maryland Avenue, S.W.
Washington, D.C. 20202

Director, Program Operations Division
Room 2007, FOB-6
400 Maryland Avenue, S.W.
Washington, D.C. 20202

Associate Commissioner, Equal Educational Opportunity Programs
Room 2001
400 Maryland Avenue, S.W.
Washington, D.C. 20202

Division Director, Division of Education Replication
Room 3616, ROB-3
400 Maryland Avenue, S.W.
Washington, D.C. 20202

Chief, Library Education and Postsecondary Resources Branch
Room 3622, ROB-3
400 Maryland Avenue, S.W.
Washington, D.C. 20202

Chief, Library Research and Demonstration Branch
Room 3124, ROB-3
Washington, D.C. 20202

Chief, Educational Broadcasting Facilities Branch
Room 3122-A, ROB-3
400 Maryland Avenue, S.W.
Washington, D.C. 20202

Director, Division of Educational Technology
Room 3116, ROB-3
400 Maryland Avenue, S.W.
Washington, D.C. 20202

Executive Officer, Bureau of Occupational and Adult Education
Room 5636, ROB-3
400 Maryland Avenue, S.W.
Washington, D.C. 20202

Program Manager, Metric Education Program Staff
Room 5640, ROB-3
400 Maryland, S.W.
Washington, D.C. 20202

Director, Women's Program Staff
Room 3121, FOB-6
400 Maryland Avenue, S.W. Washington, D.C. 20202

Privacy Coordinator
P.O. Box 8370
Boston, Massachusetts 02114

Deputy Director, Office of Career Education
Room 3100
7th and D Streets, S.W.
Washington, D.C. 20202

Privacy Coordinator
Room 406
26 Federal Plaza
New York, New York 10007

Privacy Coordinator
3535 Market Street Room 16200
Philadelphia, Pennsylvania 19104

Privacy Coordinator
Room 513
50 Seventh Street, N.E.
Atlanta, Georgia 30323

Privacy Coordinator
32nd Floor
300 South Wacker Drive
Chicago, Illinois 60606

Privacy Coordinator
1114 Commerce Street
Dallas, Texas 75202

Privacy Coordinator
Room 360, FOB
601 East 12th Street
Kansas City, Missouri 64106

Privacy Coordinator
Room 3444A, FOB
1961 Stout Street
Denver, Colorado 80202

Privacy Coordinator
50 Fulton Street
San Francisco, California 94102

Privacy Coordinator
Room 515
Arcade Plaza Building
1321 Second Avenue
Seattle, Washington 98101

09-42-0001

System name: NIE Project Management System -- HEW E.

Security classification: None.

System location:

Room 700-B
1200 19th Street, N.W.
Washington, D.C. 20208

Categories of individuals covered by the system: Principal Investigator in any proposal submitted to NIE and on all awards.

Categories of records in the system: Data consist of name institution, Social Security number, title, mailing address, phone number, congressional district, academic discipline, present position, ethnicity, birthday, sex, per cent time of project.

Authority for maintenance of the system: Section 405(e)(1) General Education Provisions Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To contractors for services and analysis of the records by authorized personnel. For routine uses set forth in Appendix B to 45 Code of Federal Regulations Part 5b. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: The data are stored on computer disk.

Retrievability: The records are retrievable on any field. Records are used to determine distribution of awards, to generate transaction for the DHEW Contract and Grant Information Systems, to relate data to Institute Financial System and DHEW Central Registry System, to generate entries for NIE Mailing Label System.

Safeguards: Retrievals on personal data can only be requested by authorized individuals. Exception: subject to disclosure requirements of Privacy Act.

Retention and disposal: Indefinite.

System manager(s) and address:

Chief, Management and Data Systems Division
Room 604-B
1200 19th Street, N. W.
Washington D. C. 20208

Notification procedure: Written inquiries must be made to the System Manager and must include the inquirer's name and address, the system identification number and name.

Record access procedures: See above.

Contesting record procedures: See above.

Record source categories: Proposals submitted to NIE, data collected during contracting process.

Systems exempted from certain provisions of the act: None.

09-42-0004

System name: Life Plans Study: The Impact of the Women's Movement on Educational and Occupational Behavior and Attitudes of Married Women. HEW E.

Security classification: None.

System location:

Room 816 Brown Building
1200 19th Street, N.W.
Washington, D.C. 20208

Categories of individuals covered by the system: The subjects are married women, formerly of the Boston area.

Categories of records in the system: The records consist of demographic data, including early family background and adolescent relationship with parents; educational and occupational history, plans and aspirations; a variety of attitudinal measures; present family relationships, including data on husband and children; and information on current life situation. It is a longitudinal study.

Authority for maintenance of the system: Sec. 405(e)(1) of the General Education Provisions Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: The records are maintained on disc, tape, and IBM cards.

Retrievability: The records are indexed by I.D. number. Records are used for statistical research or reporting purposes, in a non-personally identifiable format.

Safeguards: Names of individuals included in the study are stored separately from the records; are to be used solely for administering a follow-up questionnaire; and are accessible only to authorized personnel. This will also apply to the follow-up. Exception: subject to disclosure requirements of the Privacy Act.

Retention and disposal: The records are maintained indefinitely.

System manager(s) and address:

Head, Women's Research Staff
Room 816 Brown Building
1200 19th Street, N.W.
Washington, D. C. 20208

Notification procedure: Inquiry must be made in writing to the system manager (address above) and must include the inquirer's name, address, dates of previous correspondence, if known, and any system I.D. number and name.

Record access procedures: Same as above.

Contesting record procedures: Same as above.

Record source categories: Data were collected from wives of graduate students in the Boston area on questionnaires administered through the mail.

Systems exempted from certain provisions of the act: None.

09-42-0005

System name: Safe School Study. HEW E.

Security classification: None.

System location:

Research Triangle Institute
Research Triangle Park, North Carolina 27709

Categories of individuals covered by the system: The subjects are school principals or their designees.

Categories of records in the system: Data consist of crimes commited on school grounds, prevention measures used by the school, background information on the school, its programs and personnel.

Authority for maintenance of the system: Sec. 405(e)(1) of the General Education Provisions Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To contractors for services and analysis of the records by authorized personnel. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: The records are maintained on magnetic tape.

Retrievability: The records are indexed by I. D. number. They will be used for a large scale statistical evaluation of the effectiveness of school crime prevention measures and a description of prevention measures reported classified by school type.

Safeguards: Names are stored on separate tapes and are accessible only to authorized personnel. Exception: subject to disclosure requirements of the Privacy Act.

Retention and disposal: The magnetic tapes will be erased, and therefore the names destroyed, in August, 1977, when the project ends.

System manager(s) and address:

Head, School Discipline Studies Staff
Room 832 Brown Building
1200 19th Street, N.W.
Washington, D.C. 20208

Notification procedure: Inquiry must be made in writing to the system manager (address above) and must include the inquirer's name, address, dates of previous correspondence, if known, and any system I.D. number and name.

Record access procedures: Same as above.

Contesting record procedures: Same as above.

Record source categories: Data were collected by questionnaires administered through the mail.

Systems exempted from certain provisions of the act: None.

09-42-0012

System name: Manpower Economic Education and the Transition from School to Work--HEW E.

Security classification: None.

System location:

National Institute of Education
1200 19th St., N.W.

Washington, D.C. 20208

Categories of individuals covered by the system: Sample of students in 8th grade (1967-68) in Lancaster and Zanesville, Ohio and same students 5 years later.

Categories of records in the system: Age; sex; social security number; pupil information forms, achievement test series; information test series; opinions of the world of work; family background; address, date and place of birth; scholastic record; test record.

Authority for maintenance of the system: Section 405(e)(1) of the General Education Provisions Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To contractors for services and analysis of records by authorized personnel. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Information is maintained in individual files and on cards.

Retrievability: Records can be retrieved by I.D. number, name, social security number, address, date and place of birth and are used for statistical research or reporting purposes only and not used in whole or in part in making any determination about an identifiable individual.

Safeguards: Access limited to authorized personnel and protected by building security. Exception: subject to disclosure requirements of the Privacy Act.

Retention and disposal: Records to be retained indefinitely.

System manager(s) and address:

Associate Director for Education and Work
National Institute of Education
Washington, D.C. 20208

Notification procedure: Written inquiries must be made to the system manager, address above, and must include inquirer's name, address, dates of previous correspondence, the assigned system I.D. number and system name.

Record access procedures: Same as above.

Contesting record procedures: Same as above.

Record source categories: Information reported by students and their teachers.

Systems exempted from certain provisions of the act: None.

09-42-0016

System name: Northwest Regional Educational Laboratory, Experienced Based Career Education Record System--HEW E.

Security classification: None.

System location:

333 Oak Street
Portland, Oregon

CE2 Project Office
King City, Oregon

1947 Center Street
Berkeley, California

Categories of individuals covered by the system: Students, parents, employers, adopters, potential adopters involved with the EBCE program.

Categories of records in the system: System includes information on aptitude, achievement, student background, family background, attitudinal, interest, opinion, descriptive data on employer businesses, descriptive data on school districts, activity records.

Authority for maintenance of the system: Section 405(e)(1) of the General Education Provisions Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: For transfer to cooperating school districts and to program participants (individually identifiable information for themselves only). To contractors for services and analysis of records by authorized personnel. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Records are kept in standard file containers, punch cards and magnetic tape.

Retrievability: Records can be retrieved by name (hard copy files) or assigned ID number (computer files) and are for monitoring progress of project/product development and for research, development, evaluation, and analysis of educational materials, projects, programs, including study of medium and long term program effects.

Safeguards: Access limited to authorized personnel; locked file cabinets and building security are procedures used. Exception: subject to disclosure requirements of the Privacy Act.

Retention and disposal: Not yet determined how long records will be kept in individually identifiable format.

System manager(s) and address:

Associate Director for Education and Work
National Institute of Education
Washington, D.C. 20208

Notification procedure: Written inquiries must be made to the system manager, address above, and must include inquirer's name, address, dates of previous correspondence, the assigned system I.D. number and system name.

Record access procedures: Same as above.

Contesting record procedures: Same as above.

Record source categories: Students, parents, school district, employers, adopters and potential adopters of EBCE program.

Systems exempted from certain provisions of the act: None.

09-42-0017

System name: Research for Better Schools Experienced Based Career Education Record System--HEW E.

Security classification: None.

System location:

Olney High School
Front & Duncannon Streets
Philadelphia, Pennsylvania

Career Education Program
1700 Market Street
Philadelphia, Pennsylvania

Census and Data System
Raub Hall
University of Delaware
Newark, Delaware

1947 Center Street
Berkeley, California

710 S.W. Second Avenue
Portland, Oregon

Categories of individuals covered by the system: Students, parents, employers, potential adopters involved in the EBCE Program.

Categories of records in the system: System includes information on aptitude, achievement, student background, family background, attitudinal data, interest data, opinion, descriptive data on employer businesses, descriptions of school districts, activity records.

Authority for maintenance of the system: Section 405(e)(1) of the General Education Provisions Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: For transfer to cooperating school districts and to program participants (individually identifiable information for themselves only). To contractors for services and analysis of records by authorized personnel. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Records are kept in standard file containers (hard copy), and on magnetic tape.

Retrievability: Records can be retrieved by name (hard copy file) or assigned ID number (hard copy and computer files) and are for monitoring progress of project/product development and for research, development, evaluation and analysis of educational materials, projects, programs, including study of medium and long term program effects.

Safeguards: Access limited to authorized personnel; records kept in locked cabinets and buildings with controlled access 24 hours a day. Exception: subject to disclosure requirements of the Privacy Act.

Retention and disposal: Not yet determined how long records will be kept in individually identifiable format.

System manager(s) and address:

Associate Director for Education and Work
National Institute of Education
Washington, D.C. 20208

Notification procedure: Written inquiries must be made to the system manager, address above, and must include inquirer's name, address, dates of previous correspondence, the assigned system I.D. number and system name.

Record access procedures: Same as above.

Contesting record procedures: Same as above.

Record source categories: Students, parents, school districts, employers, adopters and potential adopters of EBCE Program.

Systems exempted from certain provisions of the act:

09-42-0018

System name: Appalachia Educational Laboratory Experienced Based Career Education Record System--HEW E.

Security classification: None.

System location:

P.O. Box 1348
Charleston, West Virginia
(At both 19th & McCorkle SE and 1031 Quarrier Street address)

1947 Center Street
Berkeley, California

Research Department
Educational Testing Service
Princeton, New Jersey

710 S.W. Second Avenue
Portland, Oregon

Categories of individuals covered by the system: Students, parents, employers, visitors, adopter personnel.

Categories of records in the system: Achievement, aptitude, student and family background, attitude, interest, opinion, descriptive data on employer businesses and on school districts, student activity records.

Authority for maintenance of the system: Section 405(e)(1) of the General Education Provisions Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: For transfer to cooperating school districts and to program participants (individually identifiable information for themselves only). To contractors for services and analysis of records by authorized personnel. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Records are kept in standard file containers (hard copy), and on punch cards and magnetic tape.

Retrievability: Records can be retrieved by name (hard copy file) or assigned ID number (hard copy and computer files) and are for monitoring progress of project/product development and for research, development, evaluation and analysis of educational materials, projects, programs, evaluation including study of medium and long term program effects.

Safeguards: Access limited to authorized personnel; records kept in buildings with controlled access. Exception: subject to disclosure requirements of the Privacy Act.

Retention and disposal: Not yet determined how long records will be kept in individually identifiable format.

System manager(s) and address:

Associate Director for Education and Work
National Institute of Education
Washington, D.C. 20208

Notification procedure: Written inquiries must be made to the system manager, address above, and must include inquirer's name, address, dates of previous correspondence, the assigned system I.D. number and system name.

Record access procedures: Same as above.

Contesting record procedures: Same as above.

Record source categories: Students, parents, school districts, employers, adopters and potential adopters of EBCE Program.

Systems exempted from certain provisions of the act: None.

09-42-0019

System name: Far West Laboratory Experienced Based Career Education Records System--HEW E.

Security classification: None.

System location:

1855 Folsom Street
San Francisco, California

1947 Center Street
Berkeley, California

Human Factors Research
Santa Barbara, California

Categories of individuals covered by the system: Students, parents, employers, potential adopters, adopters.

Categories of records in the system: Aptitude, achievement, student background, family background, attitudinal, interest, opinion, descriptive data on employer businesses, descriptive data on school districts, activity records.

Authority for maintenance of the system: Section 405(e)(1) of the General Education Provisions Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: For transfer to cooperating school districts and to program participants (individually identifiable information for themselves only). To contractors for services and analysis of records by authorized personnel. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the

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

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

Storage: Records are kept in standard file containers (hard copy), and on punch cards and magnetic tape.

Retrievability: Records can be retrieved by name (hard copy file) or assigned ID number (computer files) and are for monitoring progress of project/product development and for research, development, evaluation and analysis of educational materials, projects, programs, including study of medium and long term program effects.

Safeguards: Access limited to authorized personnel; records kept in locked cabinets and buildings with controlled access 24 hours a day. Exception: subject to disclosure requirements of the Privacy Act.

Retention and disposal: Not yet determined how long records will be kept in individually identifiable format.

System manager(s) and address:

Associate Director for Education and Work
National Institute of Education
Washington, D.C. 20208

Notification procedure: Written inquiries must be made to the system manager, address above, and must include inquirer's name, address, dates of previous correspondence, the assigned system I.D. number and system name.

Record access procedures: Same as above.

Contesting record procedures: Same as above.

Record source categories: Students, parents, school districts, employers, adopters and potential adopters of EBCE Program.

Systems exempted from certain provisions of the act: None.

09-42-0020

System name: Educational Testing Service Experienced Based Career Education Record System--HEW E.

Security classification: None.

System location:

1947 Center Street
Berkeley, California

Categories of individuals covered by the system: Students, parents, employers, EBCE Lab staff.

Categories of records in the system: Achievement, student background, family background, attitudinal, interest, opinion, descriptive data on employer businesses, activity records.

Authority for maintenance of the system: Section 405(e)(1) of the General Education Provisions Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To contractors for services and analysis of records by authorized personnel. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Records are kept in standard file containers (hard copy), on punched cards and magnetic tape.

Retrievability: Records can be retrieved by project, category and ID number (hard copy file) or assigned ID number (computer files) and are for monitoring progress of project/product development and for research, development, evaluation and analysis of educational materials, projects, programs, including study of medium and long term program effects.

Safeguards: Access limited to authorized personnel; records kept in locked cabinets and buildings with controlled access. Exception: subject to disclosure requirements of the Privacy Act.

Retention and disposal: Not yet determined how long records will be kept in individually identifiable format.

System manager(s) and address:

Associate Director for Education and Work
National Institute of Education
Washington, D.C. 20208

Notification procedure: Written inquiries must be made to the system manager, address above, and must include inquirer's name, address, dates of previous correspondence, the assigned system I.D. number and system name.

Record access procedures: Same as above.

Contesting record procedures: Same as above.

Record source categories: Students, parents, employers, EBCE staff, EBCE projects.

Systems exempted from certain provisions of the act: None.

09-42-0045

System name: NIE Child Study Center. HEW E.

Security classification: None.

System location:

400 Maryland Avenue, S.W.
Washington, D.C.

Categories of individuals covered by the system: Children enrolled in NIE Child Study Center and their parents.

Categories of records in the system: Application forms giving background data on parents and children.

Authority for maintenance of the system: Section 405(e)(1) of the General Education Provisions Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Records are maintained on application forms.

Retrievability: System is indexed by name alphabetically.

Safeguards: Records are maintained in a locked file cabinet. Exception: Subject to disclosure requirements of the Privacy Act.

Retention and disposal: Records are maintained in the active files while a child is enrolled in the Center. Upon leaving the center, their application is put in an inactive file.

System manager(s) and address:

Associate Director for Basic Skills
Room 819
1200 19th Street, N.W.
Washington, D.C. 20208

Notification procedure: Written inquiries must be made to the system manager at the address above and must include the inquirer's name and address, dates of any previous correspondence and the system ID number and name.

Record access procedures: Same as above.

Contesting record procedures: Same as above.

Record source categories: Application forms completed by parents. All data are furnished voluntarily.

Systems exempted from certain provisions of the act: None.

09-42-0056

System name: National Institute of Education, Sources and Effects of Teacher Expectations. HEW E.

Security classification: None.

System location:

1200 19th St., NW
Washington, D.C. 20208

Categories of individuals covered by the system: Seven first grade teachers and their 196 students in the Washington, D.C. area.

Categories of records in the system: Cross sectional and longitudinal records on teachers' expectations, background, behaviors, and students' interactions, grades, SES, parental involvement. For use in determining the effects of teacher expectations on student achievement gains.

Authority for maintenance of the system: Section 405(e)(1) of the General Education Provisions Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To contractors for services and analysis of the records to authorized personnel. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: The data are stored on magnetic tape which is stored in a locked filing cabinet.

Retrievability: The data are indexed by teachers', students'- and principals' names. Identifiers are coded, and kept separate in a locked file from the master tapes. The data are used by members of the program staff to identify effective teacher behaviors. They are collected for statistical purposes only, and not for the determination of any individual's benefits or entitlements.

Safeguards: Tapes and coded list are kept in a locked room. Access is to authorized personnel only. Exception: Subject to disclosure requirements of Privacy Act.

Retention and disposal: List of names will be kept until study is completed in 1977 and then will be destroyed by burning.

System manager(s) and address:

Associate Director for Basic Skills
Room 819
1200 19th St., N.W.
Washington, D.C. 20208

Notification procedure: Written inquiries must be made to the system manager at the address above and must include the inquirer's name and address, dates of previous correspondence and the system ID number and name.

Record access procedures: Same as above.

Contesting record procedures: Same as above.

Record source categories: Interviews, questionnaires of participants in the sample and observations during testing. All data were furnished voluntarily.

Systems exempted from certain provisions of the act: None.

09-42-0065

System name: NIE Outside Experts. HEW E.

Security classification: None.

System location:

Room 720, Brown Building
1200 19th Street, N.W.
Washington, D.C. 20208

Categories of individuals covered by the system: Individuals who have been used as outside experts.

Categories of records in the system: Name, department or title, institution, address, institutional category, academic discipline, type of work, year of birth, academic degrees and experience of individuals who have been used as outside experts, together with task(s) performed.

Authority for maintenance of the system: Section 405(e)(1) of the General Education Provisions Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The data are used to prepare periodic lists of outside experts and the tasks they have performed and aggregate figures on categories of persons used. These lists and figures are used internally to monitor and improve NIE efforts to involve men and women covering a wide variety of institutions, disciplines, type of work, ethnic background, geographical location, and ages, in development and evaluation of its program. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: The records are maintained in computer disc files, with printouts as appropriate.

Retrievability: These lists and figures may be released as a matter of public interest; lists of names that may be made public do not indicate sex or ethnicity of individuals.

Safeguards: Code number keys protect access to sensitive data. Exception: subject to disclosure requirements of Privacy Act.

Retention and disposal: Retained indefinitely.

System manager(s) and address:

Science Adviser
Room 720, Brown Building
1200 19th Street, N.W.
Washington, D.C. 20208

Notification procedure: System manager; for general inquiries, name, system name and I.D. number and date of previous correspondence if applicable. Address is same as above.

Record access procedures: Same as above.

Contesting record procedures: Same as above.

Record source categories: Data compiled from published biographies or curriculum vitae provided voluntarily or as a condition for obtaining a contract or temporary personnel appointment. Sex and ethnicity are included when known.

Systems exempted from certain provisions of the act: None.

09-42-0078

System name: Travel - Official Travel of NIE Personnel. HEW E.

Security classification: None.

System location:

National Institute of Education
1200 19th Street NW
Washington, D.C. 20208

Categories of individuals covered by the system: NIE Personnel.

Categories of records in the system: Names of personnel on official travel, including points of travel, purpose and expenses.

Authority for maintenance of the system: 405 (e)(1) of the General Education Provisions Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: General Accounting Office. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Data are stored in cabinet files.

Retrievability: Data are indexed by name. Records are available to NIE Personnel.

Safeguards: Data are for use of authorized personnel only. Exception: subject to disclosure requirements of Privacy Act.

Retention and disposal: Travel materials are maintained for 3 years or until auditing.

System manager(s) and address:

Chief, Finance Division
Room 711-M
1832 M Street NW
Washington, D.C. 20208

Notification procedure: Written inquiries must be made to the system manager at the address above and must include the inquirer's name and address, the system ID number and name.

Record access procedures: Same as above.

Contesting record procedures: Same as above.

Record source categories: Materials obtained during course of travel pertaining to authorization of travel, expenses incurred, and other fiscal data.

Systems exempted from certain provisions of the act: None.

09-42-0079

System name: NIE Controlled Correspondence.

Security classification: None.

System location:

Room 720
1200 19th Street, N.W.
Washington, D.C. 20208

Categories of individuals covered by the system: Members of the general public, members of Congress, members of the educational community and others who correspond on a variety of matters with the Institute.

Categories of records in the system: Correspondence on a variety of matters including general inquiries, Congressional inquiries on behalf of constituents, unsolicited proposals, requests for program information, requests for staff assistance, inquiries on employment opportunities, and other matters.

Authority for maintenance of the system: Section 405(e)(1) of the General Education Provisions Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: For uses 1 through 9 of the Departmental Regulations (45 Code of Federal Regulations 5b). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Data are stored in cardex form and in folders in file cabinets.

Retrievability: Indexed by name, by state, and by subject matter. Data are utilized by authorized staff within the Institute in the performance of their duties.

Safeguards: Access is limited to authorized personnel. Exemption: Subject to disclosure requirements of Privacy Act.

Retention and disposal: All files are retained for two years and then boxed and forwarded to the.

System manager(s) and address:

Correspondence Control Unit
Room 720, Brown Building
1200 19th Street, N.W.
Washington, D.C. 20208

Notification procedure: Written inquiries must be made to the system manager, and must include inquirer's name, address, dates of previous correspondence, the system name and I.D. number.

Record access procedures: Same as above.

Contesting record procedures: Same as above.

Record source categories: Data are obtained from correspondence addressed to the Institute from a variety of sources including the general public, prospective contractors, members of Congress, and others.

Systems exempted from certain provisions of the act: None.

09-42-0081

System name: Compensatory Education Study. HEW E.

Security classification: None.

System location: See Appendix A and Appendix B.

Categories of individuals covered by the system: The subjects are school children in the elementary and intermediate grades (1-9); parents of such children; teachers and paraprofessionals involved in compensatory education programs; administrators at the local, district, state, and federal levels and lawyers and auditors involved in Title I cases. Additionally, subjects include community leaders; other teachers and administrators (i.e., principals, superintendents, analysts, evaluators) at the local, district, state and federal levels; and persons in educational research, both past and currently.

Categories of records in the system: The records consist of data regarding childrens' involvement in compensatory education or other school programs, including background information and achievement data; parents', teachers' and other staffs' perceptions regarding education programs and their administration; administrators' perceptions and problems regarding compensatory education programs; and researchers' views, both empirically based and intuitive.

Authority for maintenance of the system: Sec. 821 of the Education Amendments of 1974 (P. L. 93-380).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The records will be available to contractors for services and analysis by authorized personnel. Achievement and other program data in personally-identifiable form will be available only to the school in which it was collected for purposes of planning and evaluation by school personnel. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: The records are maintained on disc, tape, IBM cards, and in hard copy filed in standard file cabinets.

Retrievability: The records are indexed by age, grade, agency, geographic location, time sequence, topics, codes, or ID number. They will be used for reporting purposes or statistical research, in a non-personally identifiable format.

Safeguards: The records are safeguarded by permission and involvement of parents, teachers, administrators, and researchers. Names of individuals are primarily stored separately from the records and are accesible only to authorized personnel. Exception: Subject to disclosure requirements of the Privacy Act.

Retention and disposal: The records are maintained indefinitely.

System manager(s) and address:

Chief, Compensatory Education Division
1200 19th Street, N.W., Room 808
Washington, D. C. 20208

Notification procedure: Inquiry must be made in writing to the system manager (address above) and must include the inquirer's name, address, dates of previous correspondence, if known, and any system ID number and name.

Record access procedures: Same as above.

Contesting record procedures: Same as above.

Record source categories: Data were collected by observation, interview, questionnaires administered both personally and through the mail, conference notes, testing, and re-analysis of previously collected data.

Systems exempted from certain provisions of the act: None.

Appendix A

District Survey I

Stanford Research Institute
Menlo Park, California

Demonstration Projects
Colorado Department of Education
Denver, Colorado

Kansas State Department of Education
Topeka, Kansas

New Mexico Department of Education
Santa Fe, New Mexico

Arizona Department of Education
Phoenix, Arizona

Oklahoma Department of Education
Oklahoma City, Oklahoma

North Carolina Department of Public Instruction
Raleigh, North Carolina

State Education Department
Albany, New York

West Virginia Department of Education
Charleston, West Virginia

Texas Education Agency
Austin, Texas

California Department of Education
Sacramento, California

Wisconsin Department of Public Instruction
Madison, Wisconsin

Massachusetts Department of Education
Boston, Massachusetts

Rhode Island Department of Education
Providence, Rhode Island

Research Syntheses

Stanford Research Institute
Menlo Park, California

Harvard Graduate School of Education
Cambridge, Massachusetts

International Reading Association
Newark, Delaware

Contract Research Corporation
Belmont, Massachusetts

Ohio State University
Columbus, Ohio

Alternative Designs to Compensatory Education

UCLA Graduate School of Education
Los Angeles, California

Stanford Research Institute
Menlo Park, California

University of Kansas Department of Human Development
Lawrence, Kansas

Fanon Research & Development Center
Los Angeles, California

Research on Demonstration Projects

Abt Associates, Inc.
Cambridge, Massachusetts

Individualized Instruction Designs

Learning Research & Development Center
University of Pittsburgh
Pittsburgh, Pennsylvania

Education Turnkey Systems
Washington, D.C.

Research for Better Schools
Philadelphia, Pennsylvania

Contemporary Research Incorporated
Los Angeles, California

Survey of Legal Standards

Lawyers' Committee for Civil Rights under Law
Washington, D.C.

Appendix B

Contractors for following projects:
Study of Individualization Implementation
Relationships between Theory & Practice in Reading
Study of State Administration, Title I and State Programs
Poverty Measures Study
Achievement Measures Study
Calculation of Effects of Eligibility Criteria
Testing Synthesis
Effects of Alternative Procedures for Allocating Title I Funds
Study of State Testing and Accountability Programs
Research on Relationship between Poverty & Achievement
Study of Subcounty Allocation
Study of Individualized Lesson Plans
Study of Teacher Training
Study of Districts with High Concentration of Funds
Study of Programs Regulations

09-42-0082

System name: National Council on Educational Research Mailing Lists. HEW E.

Security classification: None.

System location:

Room 729, Brown Building
1200 - 19th Street, N.W.
Washington, D.C. 20208

Categories of individuals covered by the system: Members of various governmental agencies and the public.

Categories of records in the system: Names and addresses of individuals receiving: minutes of Council meetings, resolutions adopted by the Council, lists of names and addresses of Council members (current), annual report of the Council, miscellaneous materials available for dissemination.

Authority for maintenance of the system: Section 405(b) of the General Education Provisions Act (20 U.S.C. 1221e(b)).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Dissemination of information resulting from the meetings of the National Council on Educational Research. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Correspondence files and the mailing lists are maintained in file folders in unlocked area.

Retrievability: Records are filed by name of correspondent and are used by authorized staff to disseminate information on Council activities.

Safeguards: Access to mailing lists available only to authorized personnel. Exception: subject to disclosure requirements of Privacy Act.

Retention and disposal: Records maintained as long as mailing lists are active.

System manager(s) and address:

Chief, Policy and Administrative Coordination
National Council on Educational Research
Room 722, Brown Building
1200 - 19th Street, N.W.
Washington, D.C. 20208

Notification procedure: Written inquiries must be made to the system manager, address above, and must include inquirer's name, address, dates of previous correspondence, the assigned system I.D. number and system name.

Record access procedures: Same as above.

Contesting record procedures: Same as above.

Record source categories: From the correspondents themselves.

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-No-ne.

09-42-0083

System name: National Council on Educational Research Current and Past Information on Members of the Council and Consultants. HEW E.

Security classification: None.

System location:

Room 729, Brown Building
1200 - 19th Street, N.W.
Washington, D.C. 20208

Categories of individuals covered by the system: Current and past members of the National Council on Educational Research and consultants.

Categories of records in the system: Current and past records of the Council pertaining to: Personnel matters (personal records, biographical data, etc.), lists of names and addresses of members, records on Council nominees, Council fiscal records.

Authority for maintenance of the system: Section 405(b) of the General Education Provisions Act (20 U.S.C. 1221e(b)).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To contractors for services and analysis of the records by authorized personnel. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Records maintained in file folders and kept in locked file cabinets.

Retrievability: Records are indexed by name - some by date. Records available only to authorized personnel on a 'need-to-know' basis (working files and reference, estimating future budget needs, current names and addresses of Council members provided to individuals upon request).

Safeguards: File cabinets are locked during nonworking hours. Access is limited to authorized personnel. Exception: subject to disclosure requirements of Privacy Act.

Retention and disposal: Records are maintained indefinitely.

System manager(s) and address:

Chief, Policy and Administrative Coordination
National Council on Educational Research
Room 722, Brown Building
1200 - 19th Street, N.W.
Washington, D.C. 20208

Notification procedure: Written inquiries must be made to the system manager, address above, and must include inquirer's name, address, dates of previous correspondence, the assigned system I.D. number and system name.

Record access procedures: Same as above.

Contesting record procedures: Same as above.

Record source categories: Information from Council members and other areas of the agency.

Systems exempted from certain provisions of the act: None.

09-42-0084

System name: National Council on Educational Research Attendance Lists. HEW E.

Security classification: None.

System location:

Room 729, Brown Building
1200 - 19th Street, N.W.
Washington, D.C. 20208

Categories of individuals covered by the system: Individuals from the private sector and various state and federal agencies.

Categories of records in the system: Names, addresses and telephone numbers of individuals who plan to attend and those who actually attend Council meetings.

Authority for maintenance of the system: Section 405(b) of the General Education Provisions Act (20 U.S.C. 1221e(b)).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: For uses 1 through 9 in Appendix B of the Departmental Regulations (45 CFR Part 5b). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Lists of attendees are made a part of the official record of the Council meeting.

Retrievability: Lists are filed under date of Council meetings. Used to provide information to Director of agency and Chairman of Council, and agency staff for provision of adequate facilities to accommodate attendees at meetings of the Council. Provides information regarding attendees if any should request permission to address the Council during meeting. Provides information needed if materials must be mailed to attendees.

Safeguards: Council files are kept in locked file cabinets and are accessible only to authorized personnel. Exception: subject to disclosure requirements of Privacy Act.

Retention and disposal: Records are maintained indefinitely.

System manager(s) and address:

Chief, Policy and Administrative Coordination
National Council on Educational Research
Room 722, Brown Building
1200 - 19th Street, N.W.
Washington, D.C. 20208

Notification procedure: Written inquiries must be made to the system manager, address above, and must include inquirer's name, address, dates of previous correspondence, the assigned system I.D. number and system name.

Record access procedures: Same as above.

Contesting record procedures: Same as above.

Record source categories: Information provided by attendees.

Systems exempted from certain provisions of the act: None.

09-44-0010

System name: Support for Improvement of Postsecondary Education; Field Readers to Review Proposals for FIPSE.

Security classification: None.

System location:

Fund for the Improvement of Postsecondary Education
Room 3141, 400 Maryland Avenue, S. W.
Washington, D. C. 20202

Categories of individuals covered by the system: Individuals with backgrounds and experience in postsecondary education.

Categories of records in the system: Resumes indicating name, position, work experience, and general personnel information.

Authority for maintenance of the system: 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: For uses 1 through 8 in Appendix B of the Departmental Regulations (45 Code of Federal Regulations 5b).

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

Storage: File folders in cabinet.

Retrievability: The file is organized by individuals who have read for FIPSE by year, program and name; and by individuals who request to read for FIPSE by name.

Safeguards: Administrative use by authorized agency personnel. Exception: subject to disclosure requirements of Privacy Act.

Retention and disposal: Information is retained until an annual review of post field readers is conducted.

System manager(s) and address:

Deputy Director, FIPSE
Room 3141, 400 Maryland Avenue, S. W.
Washington, D. C. 20202

Notification procedure: System manager; for general inquiries, name and date of previous correspondence, if known; for complaint/investigative material, name and any I.D. number assigned. Address is same as above.

Record access procedures: Contact system manager, listed above.

Contesting record procedures: Same as above.

Record source categories: Information forwarded to FIPSE by individuals interested in serving as field readers; information obtained by contacting individuals with specific expertise in postsecondary education.

Systems exempted from certain provisions of the act: None. /*

09-37-0001

System name: Assistant Secretary for Health Correspondence Control System HEW/OASH/OPI

Security classification: None.

System location:

Public Health Service
Room 17B08
5600 Fishers Lane
Rockville, Md. 20857

Categories of individuals covered by the system: Individuals who have contacted the Assistant Secretary for Health or have been contacted in writing by him.

Categories of records in the system: Hard copies of the Assistant Secretary for Health's correspondence and computer printout and tape control system records of that correspondence.

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

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

Storage: Correspondence records maintained in hard copy; control records maintained on computer printout, tape, and disc.

Retrievability: Hard copy records indexed alphabetically by name and date of outgoing correspondence and also by subject. Detailed cross-referencing on computer.

Safeguards: Records are maintained in file cabinets in a secure location. Access to computer system limited to specific individuals through use of passwords. For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines (e.g. security codes) will be used, limiting access to authorized personnel.

Retention and disposal: Hard copy records are retired to Archives after two years; control records are retired at the same time.

System manager(s) and address: Executive Secretary, Public Health Service (address as above).

Notification procedure: Inquiries should indicate the name of the individual with whom the Assistant Secretary for Health corresponded, the date of the incoming correspondence and the date of the outgoing correspondence. Inquiries should be addressed to the Executive Secretary at the address above.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Records are derived from incoming correspondence and the outgoing correspondence of the Assistant Secretary for Health.

Systems exempted from certain provisions of the act: None.

09-37-0002

System name: PHS Commissioned Officer Personnel Data System. HEW/OASH/OAM

Security classification: None.

System location:

Office of the Director, Commissioned Personnel Operations Division
Office of Personnel Management/OAM/PHS
Room 4A-15, Parklawn Building
5600 Fishers Lane
Rockville, Maryland 20857

Categories of individuals covered by the system: Commissioned Officers, former commissioned officers, and applicants to the Commissioned Corps of the Public Health Service, with dependents and survivors of the above.

Categories of records in the system: ADP tapes covering training, personnel actions, payroll, applicant and officer qualifications, minority group designator files, references, medical data, and similar personnel data.

Authority for maintenance of the system: Public Health Service Act Section 201 et seq (42 U.S.C. 202 et seq.). Social Secuirty Act Section 301 et seq. (42 U.S.C. 410(m) et seq.).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information from these records may be transmitted for official purposes: to U.S. Congress; to Office of Management and Budget for budgetary or management oversight purposes; and to Federal agencies and departments to which information may be provided from the records system entitled 'PHS Commissioned Corps General Personnel Files and Records' (09-37-0007), for the same purposes stated there. Disclosed to prospective employers or other organizations, at the request of the individual. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any em-

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

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

Storage: Variously on disc, mag-tape, and some hard copy reports.

Retrievability: Alphabetically by name, by Public Health Service serial number, and by social security number in accordance with Section 7(a)(2)(B) of the Privacy Act. Used by HEW employees who process personnel operations and in the preparation of the Commissioned Officer Roster and Promotion Seniority.

Safeguards: Physical systems are in restricted areas with building guard protection. For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Indefinite retention.

System manager(s) and address: Director, Commissioned Personnel Operations Division (see system location).

Notification procedure: Write System Manager giving Social Security Number, if known, and name of the Officer.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: From individual officers, references and applicants; and from personnel files.

Systems exempted from certain provisions of the act: Individuals will be provided information from the above record system except, when in accordance with the provisions of 5 U.S.C. 552a(k)(5), 1) disclosure of such information would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence, or 2) if the information was obtained prior to the effective date of Section 3, P. L. 93-579, disclosure of such information would reveal the identity of a source who provided information under an implied promise that the identity of the source would be held in confidence. (45 CFR 5b.11)

09-37-0003

System name: PHS Commissioned Corps Medical Records. HEW/OASH/ OAM.

Security classification: None.

System location:

Office of the Director, Commissioned Personnel Operations Division
Office of Personnel Management/OAM/PHS
Room 4A-15, Parklawn Building
5600 Fishers Lane
Rockville, Maryland 20857

Categories of individuals covered by the system: Commissioned Officers; applicants to the Commissioned Corps; deceased officers; retired and terminated officers; annuitants from the Commissioned Corps of the Public Health Service.

Categories of records in the system: Medical files and records on individuals covered; medical board records; death case files and supporting documents; and correspondence relating to the above.

Authority for maintenance of the system: Public Health Service Act 201 et seq. (42 U.S.C. 202 et seq.).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Provided to Veterans Administration in event of post-service claims or continued medical care while still on active duty. These records or information therefrom may also be provided to Department of Defense to assure continuity of medical care. Copies of medical and personnel records may be provided to Department of Justice, Department of Transportation, Department of State, Environmental Protection Agency and other agencies covering Commissioned Officers assigned to those agencies. Copies of medical records may be provided to private physicians in emergency situations. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage:

Locked Lektriever and Conserv-a-Files
Federal Records Center

Retrievability: By name of officer or applicant listed alphabetically and by social security number in accordance with section 7(a)(2)(B) of the Privacy Act. Death case file used in social security processing. Used by HEW employees who make eligibility decisions; adjudications of entitlements; budgetary estimates; statistical data; and provide continuity of care between medical facilities.

Safeguards: Locked containers and building guard system.

Retention and disposal: Medical records retained indefinitely; non-selected applicant files destroyed after five years.

System manager(s) and address: Director, Commissioned Personnel Operations Division (See System location above).

Notification procedure: An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: From individual officers; applicants; private and governmental physicians; hospitals and clinics; investigative reports; official personnel folder; death certificates and reports of death; from survivors and executors of estates and other Commissioned Corps officials.

Systems exempted from certain provisions of the act: None.

09-37-0004

System name: PHS Commissioned Corps Training Files and Materials. HEW/OASH/OAM.

Security classification: None.

System location:

Office of the Director, Commissioned Personnel Operations Division
Office of Personnel Management/OAM/PHS
Room 4A-15, Parklawn Building
5600 Fishers Lane
Rockville, Maryland 20857

Categories of individuals covered by the system: Commissioned Officers and applicants to the Commissioned Corps of the Public Health Service.

Categories of records in the system: Applications for and records of continued professional training; applications for and records of Commissioned Officers Student Training and Extern Programs (COSTEP), Commissioned Officer Residency Deferment Program (CORD), and Delayed Call To Active Duty Program (DCAD); references; and correspondence relating to the above.

Authority for maintenance of the system: Public Health Service Act section 218a and Section 201 et seq. (42 U.S.C. 202 et seq.).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Records kept in locked metal file cabinets in locked room.

Retrievability: By officer's name in alphabetical order and by social security number in accordance with Section 7(a)(2)(B) of the Privacy Act. Used by HEW employees who process these records for the purposes of eligibility review, record maintenance, budgetary estimates, and statistical data.

Safeguards: Locked containers and locked room, protected by building guard force.

Retention and disposal: Files retained in permanent PHS Commissioned Corps files and transferred to Official Personnel Folder when employee becomes inactive. Files maintained permanently within PHS.

System manager(s) and address: Director, Commissioned Personnel Operations Division (See System location above).

Notification procedure: Write System Manager.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: From officers and applicants concerned, from references, and from official personnel folders.

Systems exempted from certain provisions of the act: Individuals will be provided information from the above record system except, when in accordance with the provisions of 5 U.S.C. 552a(k)(5), 1) disclosure of such information would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence, or 2) if the information was obtained prior to the effective date of Section 3, P. L. 93-579, disclosure of such information would reveal the identity of a source who provided information under an implied promise that the identity of the source would be held in confidence. (45 CFR 5b.11)

09-37-0005

System name: PHS Commissioned Corps Officer Board Proceedings, HEW/OASH/OAM.

Security classification: None.

System location:

Office of the Director, Commissioned Personnel Operations Division
Office of Personnel Management/OAM/PHS
Room 4A-15, Parklawn Building
5600 Fishers Lane
Rockville, Maryland 20857

Categories of individuals covered by the system: Commissioned Officers and applicants to the Commissioned Corps of the Public Health Service.

Categories of records in the system: Commissioned Officers Awards Board files consisting of nominations, citations and related documents. Records of board proceedings relating to appointment, promotion, separation, reduction in grade, retirement, and special pay (Variable Incentive and Continuation Pay) and supportive material.

Authority for maintenance of the system: Public Health Service Act Section 201 et seq. (42 U.S.C. 202 et seq.); 5 USC 4501.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Metal file cabinets in locked room.

Retrievability: Alphabetical files by names of persons. Used by HEW employees who process or participate in Board actions which recommend or decide on appropriate actions in the categories listed and in the preparation of the Commissioned Officer Roster and Promotion Seniority.

Safeguards: Building guard force.

Retention and disposal: Indefinitely retained.

System manager(s) and address: Director, Commissioned Personnel Operations Division (See System location above).

Notification procedure: Write System Manager.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: From individuals themselves or their service records, including efficiency and progress reports, from references, and from supervisors.

Systems exempted from certain provisions of the act: Individuals will be provided information from the above record system except, when in accordance with the provisions of 5 U.S.C. 552a(k)(5), 1) disclosure of such information would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence, or 2) if the information was obtained prior to the effective date of Section 3, P. L. 93-579, disclosure of such information would reveal the identity of a source who provided information under an implied promise that the identity of the source would be held in confidence. (45 CFR 5b.11) Pursuant to 5 U.S.C. 552a(k)(6) all material and information in this system of records about an individiual that meet the criteria stated in 5 U.S.C. 552a(k)(6) are exempt from the requirements of 5 U.S.C. 552a(c)(3); (d); (e)(4)(G), (H), and (I); and (f) relating to access and contest, making an accounting of disclosure to the individual named in the record, maintenance of information in records, publication annually in the ————————————, and provisions regarding agency rules in that

portions of this system relate to testing and examination materials that are used solely to determine individual qualifications for appointment or promotion in the U.S. Public Health Service Commissioned Corps. The specific material that is exempted is as follows:

a. Answer keys.
b. Ratings given for the purpose of validating examinations.
c. Rating sheets.
d. Rating schedules, including crediting plans.
e. Transmutation tables.
f. Test booklets.
g. Test item files. (45 CFR 5b.11)

09-37-0006

System name: PHS Commissioned Officer Grievance; Equal Employment Opportunity; and Non-Board and Pre-Board Involuntary Retirement, Involuntary Separation and Disciplinary Files. HEW/OASH/OAM.

Security classification: None.

System location:

Office of the Director, Commissioned Personnel Operations Division
Office of Personnel Management/OAM/PHS
Room 4A-15, Parklawn Building
5600 Fishers Lane
Rockville, Maryland 20857
except for equal employment opportunity files for covered individuals, see Public Health Service listings in Personnel Appendix 1 to System Notice 09-90-0009.

Categories of individuals covered by the system: Commissioned officers and applicants to the Commissioned Corps of the Public Health Service.

Categories of records in the system: Files concerning grievances filed by or against commissioned officers; disciplinary actions, involuntary retirements and involuntary separations (non-board or pre-board actions) taken against commissioned officers; EEO complaints filed by commissioned officers; and correspondence related thereto.

Authority for maintenance of the system: Public Health Service Act Section 201 et seq. (42 U.S.C. 202 et seq.).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Locked metal cabinet.

Retrievability: Alphabetically by officer's name Used by HEW officials who decide or process grievances, Equal Employment Opportunity complaints, involuntary retirements, involuntary separations, or disciplinary actions or those assisting in these actions.

Safeguards: Locked cabinet in area under building guard surveillance.

Retention and disposal: Grievance files destroyed after two years. Others kept indefinitely.

System manager(s) and address: Director, Commissioned Personnel Operations Division, except for equal employment opportunity files (see System locations above).

Notification procedure: Write System Manager.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: From the individuals themselves, from reports of investigations by Commissioned Personnel Operations Division, and from reports of review boards.

Systems exempted from certain provisions of the act: None.

09-37-0007

System name: PHS Commissioned Corps General Personnel Files and Records. HEW/OASH/OAM.

Security classification: None.

System location:

Office of the Director, Commissioned Personnel Operations Division
Office of Personnel Management/OAM/PHS
Room 4A-15, Parklawn Building
5600 Fishers Lane
Rockville, Maryland 20857

Categories of individuals covered by the system: Commissioned Officers, former Commissioned Officers, applicants to the Commissioned Corps of the Public Health-Service with dependents and survivors of the above.

Categories of records in the system: These records contain information such as application forms for appointment, references and other documents relating to qualifications or suitability for appointment and assignment; Service Record Cards (summarizing personnel actions); efficiency and progress reports; career development and training records; documents relating to promotion, retention, separation, and other personnel actions; applications and records of Service action relating to pay, travel, and allowances (including overseas educational allowances for dependents); applications and records of Service action relating to Commissioned Officer Residency Deferment Program (CORD) and Commissioned Officer Student Training and Extern Programs (COSTEP); survivor benefits; selection system applications; non-board terminations and reprimands, after final administrative action; identification and privilege card records; leave records; awards and authorizations; Official Personnel Folders; and correspondence relating to the above.

Authority for maintenance of the system: Public Health Service Act Section 201 et seq. (42 U.S.C. 202 et seq.). E.O. 10450.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records may be disclosed as indicated below: To prospective employers or other organizations at the request of the individual; to other Federal agencies in the event of appointment of former officers; to other Federal agencies to the extent necessary to obtain suitability and security investigation reports; to DOD in event of national emergency. FHA and VA may obtain information in event of employment claims and benefits; Bureau of Prisons (Department of Justice), Coast Guard (Department of Transportation), and Environmental Protection Agency may obtain copies of personnel documents relating to Commissioned Officer assignments to those agencies. Records may be disclosed to individuals and organizations deemed qualified by the Secretary to carry out specific research solely for the purpose of carrying out such research (45 CFR, Part 5b, Appendix B, Item 101). Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Records kept in lektrievers and Conserv-a-Files in secured area. Derogatory information kept in locked safe.

Retrievability: Alphabetically indexed by name of person and by social security number in accordance with Section 7(a)(2)(13) of the Privacy Act. Used by HEW officials for the purpose of review in connection with determining qualifications and suitability for appointment, selection, career development and training, transfers, promotions, obligations, retention, eligibility for rights, benefits and privileges, and other personnel actions; and in the preparation of the Commissioned Officer Roster and Promotion Seniority.

Safeguards: Secured area, safes, and building guard force.

Retention and disposal: Applicant files destroyed after two years if not used; other files retained indefinitely. Identification and privilege cards and records disposed of when officer is no longer entitled to use.

System manager(s) and address: Director, Commissioned Personnel Operations Division. (See System location above.).

Notification procedure: Write only System Manager.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact System Manager.

Record source categories: Information furnished by subject, references, reports of supervisors and other officials, personnel actions, and doctors.

Systems exempted from certain provisions of the act: Individuals will be provided information from the above record system except, when in accordance with the provisions of 5 U.S.C. 552a(k)(5), 1. disclosure of such information would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence, or 2) if the information was obtained prior to the effective date of Section 3, P. L. 93-579, disclosure of such information would reveal the identity of a source who provided information under an implied promise that the identity of the source would be held in confidence. (45 CFR 5b.11)

09-37-0008

System name: PHS Commissioned Corps Unofficial Personnel Files and Other Station Files.

Security classification: None.

System location: Operating Offices of the Department responsible for the individual's employment.

Categories of individuals covered by the system: Commissioned Officers, former Commissioned Officers, with their dependents assigned to the subject installation.

Categories of records in the system: Duplication of any personnel records contained in 09-37-0007. In addition, there may be training records, billet descriptions, financial management documents, specialty board examination requests, medical residency (intern) evaluations, leave records, and identification and privilege card records. Correspondence relating to individuals covered.

Authority for maintenance of the system: Public Health Service Act Section 201, et seq., (42 U.S.C. 202 et seq.); 10 U.S.C. 1071 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Records kept in secured area.

Retrievability: Alphabetically indexed by name of person. Used by DHEW officials who conduct personnel operations for the Commissioned Corps.

Safeguards: Records kept in secured area.

Retention and disposal: Station personnel files destroyed after two years if not used; leave records destroyed five years after separation; other files retained indefinitely. Identification and privilege cards and records disposed of when officer is no longer entitled to use.

System manager(s) and address: Administrative Officers where individual is employed.

Notification procedure: Individuals should contact their supervisors or the administrative offices of the organization unit in which employed regarding records pertaining to them.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information furnished by reports of supervisors and other officials, personnel actions, and the individual.

Systems exempted from certain provisions of the act: None. /*

09-30-0001

System name: Record of follow-up study of NIMH-supported trainees and fellows - HEW/ADAMHA/NIMH.

Security classification: None.

System location:

National Institute of Mental Health
5600 Fishers Lane
Rockville, Maryland 20857

Categories of individuals covered by the system: Former NIMH-supported trainees and fellows in the various fields and disciplines of Mental Health.

Categories of records in the system: Employment history, types of work activities, general demographic data.

Authority for maintenance of the system: Public Health Service Act Sections 301, 303, 455, 472 (42 U.S.C. 241, 242a, 289 K-1, 289 L-1).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Magnetic tape.

Retrievability: By ID number, retained in program office. Data were collected for study needed for purposes of program management and review.

Safeguards: Tape files are stored in computer facility, organizationally and physically separated from program office. For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines (e.g. security codes) will be used, limiting access to authorized personnel.

Retention and disposal: Records may be retired to a Federal Records Center and subsequently disposed of in accordance with

the ADAMHA Records Control Schedule. The disposal standard for these records may be obtained by writing the system manager at the address below.

System manager(s) and address:

Chief, Manpower and Analytic Studies Branch
Division of Manpower and Training Programs
National Institute of Mental Health, ADAMHA
5600 Fishers Lane
Rockville, Maryland 20857

Notification procedure: Write the system manager, address as above, specifying training institution through which NIMH support was received, the period (dates) of support, and the field of support (psychiatry, social work, etc).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Questionnaire response of individual trainee or fellow.

Systems exempted from certain provisions of the act: None.

09-30-0002

System name: Statistical research data on adolescent runaways in Prince Georges County, Md., 1962-65 - HEW/ADAMHA/NIMH.

Security classification: None.

System location:

Mental Health Study Center
2340 University Boulevard, East
Adelphi, Maryland 20783

Categories of individuals covered by the system: Adolescent runaways in Prince Georges County, Md., 1962-65.

Categories of records in the system: Information obtained from interviews with subject individuals and parents or guardians.

Authority for maintenance of the system: Public Health Service Act Section 301(42 U.S.C. 241).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Field notes, transcribed interviews, audio tapes of interviews, and punch cards.

Retrievability: Retrieved by number. Used for research purposes only by researcher.

Safeguards: Kept in locked filing cabinets. Indexes kept in separate locked cabinet. For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines (e.g. security codes) will be used, limiting access to authorized personnel.

Retention and disposal: Records may be retired to a Federal Records Center and subsequently disposed of in accordance with the ADAMHA Records Control Schedule. The disposal standard for these records may be obtained by writing the system manager at the address below.

System manager(s) and address:

Chief, Mental Health Study Center
2340 University Boulevard, East
Adelphi, Maryland 20783

Notification procedure: An individual may have access to his/her record upon written request, with notarized signature, addressed to the System Manager identified above. The request should include the name of the researcher, if possible.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: From the subject individuals themselves, and their parents or guardians, with their approval, cooperation and participation.

Systems exempted from certain provisions of the act: None.

09-30-0003

System name: Medical record files of patients seen in therapy in programs of the Mental Health Study Center - HEW/ADAMHA/NIMH.

Security classification: None.

System location:

Mental Health Study Center
2340 University Boulevard, East
Adelphi, Maryland 20783
and at contractor facilities. A list of contractor locations is available from the system manager.

Categories of individuals covered by the system: Patients seen in therapy in programs of the Mental Health Study Center.

Categories of records in the system: Consultation Record Form, intake questionnaire, progress notes, Patient Service Record Form, psychophysiologic and developmental tests, medical and social histories, physical examinations, clinical and behavioral observations and interview questionnaires, correspondence with community agencies, professionals on cases, and consent forms.

Authority for maintenance of the system: Public Health Service Act Section 301(42 U.S.C. 241).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Medical record forms, case notes, logs, files and indexes.

Retrievability: Retrieved by case number and name. Used for clinical intervention by therapists and, with individual consent, for behavioral and basic research.

Safeguards: Only authorized research and service staff have access to records which will be kept in locked file drawers. Index records kept in separate locked cabinets. Contractors will comply with the provisions of the Privacy Act and with the Departmental Regulations.

Retention and disposal: Records may be retired to a Federal Records Center and subsequently disposed of in accordance with the ADAMHA Records Control Schedule. The disposal standard for these records may be obtained by writing the system manager at the address below.

System manager(s) and address:

Chief, Mental Health Study Center
2340 University Boulevard, East
Adelphi, Maryland 20783

Notification procedure: An individual may have access to his/her record upon written request, with notarized signature, addressed to the System Manager identified above. The request should include the name of the researcher, as well as the name of the study, if it is a named study. An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.). A parent or guardian who requests notification of or access to a minor's record shall at the time the request is made designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The designate will receive the record in all cases and upon review will determine whether the record should be made available to the parent or guardian.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: From the patients themselves with their approval, cooperation, and participation.

Systems exempted from certain provisions of the act: None.

09-30-0004

System name: Intramural research program records of research performed on in- and out -patients with various types of mental illness - HEW/ADAMHA/NIMH.

Security classification: None.

System location:

National Institutes of Health
9000 Rockville Pike
Bethesda, Maryland 20014

Saint Elizabeths Hospital
Washington, D. C. 20032

Categories of individuals covered by the system: In- and out-patients with emotional, psychiatric, and neurophysiological disability, normal subjects, and research subjects.

Categories of records in the system: Research data of wide variety including biochemical measures, psychophysiological and psychological tests, questionnaires, clinical and behavioral observations and interviews, physical examinations, and correspondence.

Authority for maintenance of the system: Public Health Service Act Sections 301, 302, and 303 (42 USC 241, 242, 242a).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to approved collaborating national, state, international, and non-government researchers. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: In original state; files, indexes, magnetic and other tapes.

Retrievability: Retrieved by name (coded). These records are used for diagnosis and treatment of patients with neuropsychiatric illnesses, and behavioral research relating to the causes, diagnoses, and treatment of neuropsychiatric disorders, and basic research on behavioral processes and personality development.

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

Retention and disposal: Records may be retired to a Federal Records Center and subsequently disposed of in accordance with the ADAMHA Records Control Schedule. The disposal standard for these records may be obtained by writing the system manager at the address below.

System manager(s) and address:

Director, Intramural Research Program
National Institute of Mental Health
Building 36, Room 1A-07
9000 Rockville Pike
Bethesda, Maryland 20014

Notification procedure: An individual may have access to his/her record upon written request, with notarized signature, addressed to the system manager identified above. The request should include as much of the following information as possible: (a) Full name; (b) Nature of illness (if any); (c) Ward or laboratory; (d) Title of study; (e) Name of researcher conducting study. An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.). A parent or guardian who requests notification of or access to a minor's record shall at the time the request is made designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The designate will receive the record in all cases and upon review will determine whether the record should be made available to the parent or guardian.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information gathered from individuals under study, either patient or normal subject, contract surveys, hospital records, medical and nursing staff notes.

Systems exempted from certain provisions of the act: None.

09-30-0005

System name: Saint Elizabeths Hospital Research Subjects Data Record - HEW/ADAMHA/NIMH.

Security classification: None.

System location:

Saint Elizabeths Hospital
Washington, D. C. 20032
and Federal Records Center
Suitland, Maryland

Categories of individuals covered by the system: Persons participating in approved research studies at Saint Elizabeths Hospital in the following categories: 1) in-patients, out-patients, former patients, and relations of patients; 2) hospital staff including stipended trainees; and 3) non-hospital related subjects.

Categories of records in the system: Record categories include: data from interviews, medical and non-medical test and laboratory data, self-report information, informant observation data, and data from previous records. These data are contained in written docu-

ments, photographs, audio tapes, video tapes, and computerized records.

Authority for maintenance of the system: Public Health Service Act Section 301 (42 U.S.C. 241).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Records are routinely disclosed to the following third parties outside HEW: 1) authorized researchers for purposes of basic research, program evaluation, and historical research; and 2) qualified physicians for the purpose of obtaining medical background data. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: File folders and filing cabinets; audio and video tape reels and storage cabinets.

Retrievability: System is filed by name, code, and/or hospital case number of subject, dates when research was conducted, research program area, and primary investigator. Immediate purposes include: data analysis, case study illustration, hypothesis generating study, and subject reimbursement. Long-range purposes include: diagnosing and treating mental disorders, and improving diagnostic and treatment methods; generating new knowledge about the nature and causes of mental and emotional illnesses, and about rehabilitating the mentally ill; generating new knowledge about human behavior; program evaluation and assessment; and historical research.

Safeguards: Records are maintained in monitored offices and are only available to persons authorized to use records for purposes for which they were collected. For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines (e.g. security codes) will be used, limiting access to authorized personnel.

Retention and disposal: Records may be retired to a Federal Records Center and subsequently disposed of in accordance with the ADAMHA Records Control Schedule. The disposal standard for these records may be obtained by writing the system manager at the address below.

System manager(s) and address:

Director, Hoffman Division of Research
Saint Elizabeths Hospital
Washington, D.C. 20032

Notification procedure: Individuals in this system of records may have access to their records upon written request, with notarized signature if request is by mail, or with suitable identification if request is made in person, directed to:

Privacy Act Coordinator
Office of the Director, Hoffman Division of Research
Saint Elizabeths Hospital
Washington, D.C. 20032

All of the following data must be provided when requesting access:

(a) Full name, and date and place of birth;
(b) Inclusive dates of participation in the research study;
(c) Type of research study;
(d) Location of the unit where research was conducted;
(e) Name or primary investigator;
(f) The status of the requestor with respect to the hospital, e.g., in-patient, out-patient, former patient, staff or trainee, or non-hospital related subject;
(g) If possible, in the case of patients, the hospital number.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Write the Privacy Act Coordinator, Office of the Director, Hoffman Division of Research, Saint Elizabeths Hospital, Washington, D.C. 20032. Reasonably identify the record and specify the information to be contested in accordance with Department regulations, Federal Register, October 8, 1975, page 47411 (45 C.F.R. Part 5b.7).

Record source categories: Information is obtained from research subjects, observers, previous records, and test results.

Systems exempted from certain provisions of the act: None.

09-30-0006

System name: The Saint Elizabeths Hospital Medical-Surgical Support Program File System - HEW/ADAMHA/NIMH.

Security classification: None.

System location:

Saint Elizabeths Hospital
Medicine & Surgery, and Laboratory Branches
Washington, D.C. 20032

Federal Records Center
Suitland, Maryland

Categories of individuals covered by the system: All present and past patients and employees of Saint Elizabeths Hospital who received medical treatment and laboratory services.

Categories of records in the system: The Division of Medical-Surgical Support Programs is made up of two branches: (1) Medicine and Surgery Branch; and (2) Laboratory Branch. Listed below are records and logs peculiar to the Division of Medical-Surgical Support Programs only (not used outside the Division). The Medical-Surgical Support Program File System does not include any material which is located in a patients medical record.

Medicine and Surgery Branch Records

1. Dental Department: X-ray films
2. Neurology Department: electroencephalographs and echoencephalographs
3. Department of Ophthalmology: photographs of eyes, interesting cases (card file)
4. Department of Radiology: X-ray films
5. Department of Surgery: cancer registry
6. Department of Rehabilitation Medicine: physical therapy treatment files and blind rehabilitation records

Medicine and Surgery Branch Logs

1. Evening-Night Physicians' Logs: Abstract of the cases handled during the tour of duty 5:00 p.m. to 8:30 a.m.
2. Death Information Book: Abstract of information regarding death of patient, notification of relatives, medical examiner and/or other third party.
3. Clinic Appointment Logs: Patients, employees, and (casually) visitors with identifying number and reason for appointment to 15 specialty clinics.
5. Admission and Transfer Logs in Eldridge Building and in Rehabilitation Medicine Building: identifies patient by name, case number, psychiatric service, date of admission, ward admitted to, date of discharge, and psychiatric service returned to.
6. X-ray Admission and Examination Log: daily record of patients examined and diagnostic findings.
7. Register of Operations: daily record of patients operated, type of surgery, participating staff, type of anesthesia, and postoperative condition.

Laboratory Branch Record Book: record of date of photograph and location of patients.

Authority for maintenance of the system: 24 USC 161, et seq.; 21 DC Code 562.

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

1. To insure continuity of care by providing information to outside physicians, dentists, laboratories, physical therapists, vocational rehabilitation therapists, etc. who are taking an active role in the further treatment of patients seen at the Medicine and Surgery and/or Laboratory Branches of Saint Elizabeths Hospital.

2. Information from the cancer registry is provided to the District of Columbia Cancer Registry as required by law.
3. Disclosure to members of Professional Standards Review Organization for health care evaluation.
4. To the Department of Justice or other appropriate Federal agencies in defending claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Departmental Regulations, 45 CFR 5(b), Item 100).
5. To organizations deemed qualified by the Secretary to carry out quality assessment, medical audits or utilization review. (Appendix B, Departmental Regulations, 45 CFR 5(b), Item 102).
6. Disclosures in the course of employee discipline or competence determination proceedings. (Appendix B, Departmental Regulations, 45 CFR 5(b), Item 103).
7. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
8. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage:

1. Dental X-ray films - file cabinets in the Main Dental Clinic Area.
2. Electroencephalographs and echoencephalograms - file cabinet in the Neurology Department Record Room.
3. Photographs of eyes of patients-file cabinet in the Eye Clinic.
4. Unusual Eye Case File - in a 5 x 3-inch card file in the Eye Clinic.
5. X-ray File Files - open shelve files and filing cabinets in the X-ray Department.
6. Cancer Registry - file cabinets in the Department of Surgery.
7. Physical Therapy Treatment Files - file cabinets in the Rehabilitation Medicine Department.
8. Blind Rehabilitation Records - file cabinets in the Rehabilitation Medicine Department.

Retrievability:

1. Dental X-ray films - hospital case number and name. For purposes of dental management and dental teaching.
2. Electroencephalograph and echoencephalograph - name, case number and date of examination. For purposes of examination and diagnosis of brain waves and lesions; teaching rounds, and graphic comparison of time of brain changes.
3. Unusual eye case file - by disease or condition name. For purposes of determination of extent of changes in eye conditions and teaching material.
4. X-ray films - patients name and case number or employee's name, social security number (terminal digit system.) For purposes of epidemiological study reference for teaching rounds.
5. Cancer Registry - name and case number. For purposes of compliance with law, management of patients, research and teaching.
6. Physical Therapy Treatment Files - name and date of evalaution. For purposes of continuity of physical therapy, treatment record and patient management.
7. Blind rehabilitation Records - name and case number. For purposes of departmental administration and planning.

Safeguards:

1. Dental X-ray films - supervision by personnel during day, locked at night.
2. Electroencephalograms and echoencephalographs - locked record room.
3. Photographs of eyes of patients - personnel supervision day, locked at night.
4. Unusual eye case file - personnel by day, locked night.
5. Cancer Registry - authorized personnel by day, locked night.
6. Physical Therapy Treatment Files - locked office.
7. Blind Rehabilitation Records - authorized personnel and locked office

Retention and disposal: Records may be retired to a Federal Records Center and subsequently disposed of in accordance with the ADAMHA Records Control Schedule. The disposal standard for these records may be obtained by writing the system manager at the address below.

System manager(s) and address:

Director of Medical-Surgical Support Programs
W. W. Eldridge Building
Saint Elizabeths Hospital
Washington, D. C. 20032

Notification procedure: An individual may have access to his/her record upon written request, with notarized signature if request is made by mail, or with suitable identification if request is made in person, directed to:

Privacy Act Coordinator
Office of the Director of the Medicine and Surgery Branch
W. W. Eldridge Building
Saint Elizabeths Hospital
Washington, D.C. 20032

All of the following information must be provided when requesting access:
(a) Full name;
(b) Approximate dates of enrollment or employment at St. Elizabeths Hospital;
(c) The nature of the material desired.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Write the Privacy Act Coordinator, Office of the Director of the Medicine and Surgery Branch, Weldridge Building, Saint Elizabeths Hospital, Washington, D.C. 20032. Reasonably identify the record and specify the information to be contested in accordance with Department regulations, Federal Register, October 8, 1975, page 47411 (45 C.F.R. Part 5b).

Record source categories:

1. Dental X-ray films - Patients: inpatients and outpatients within hospital records and/or outside facility.
2. Electroencephalographic and echoencephalographic - graphs are derived electronically from the patient's brain.
3. Photographs of eyes of patients - photographs taken during internal or external examination of patients' eyes.
4. Unusual eye case file - result of examination in Eye Clinic.
5. X-ray films - films obtained during patients or employees' term in hospital and/or from outside sources; i.e., private physician or hospital.
6. Cancer Registry - clinical records private physicians, outside hospital.
7. Physical Therapy Treatment Files - physical therapist's notes, doctor's notes, prescription records.
8. Blind Rehabilitation Records - staff observation of progress.

Systems exempted from certain provisions of the act: None.

09-30-0007

System name: Saint Elizabeths Hospital Clinical Support Services Record System - HEW/ADAMHA/NIMH.

Security classification: None.

System location: This is a widely decentralized system of records at Saint Elizabeths Hospital. Records are kept in the offices of the various clinical support services operating at the Hospital. Included in this system are:

1. Occupational Therapy Section-Atkins Hall
2. Educational Rehabilitation Unit-Atkins Hall
3. Speech and Audiology Branch-Rehabilitation Medicine Building
4. Industrial Therapy Section-Atkins Hall
5. Dance Therapy Section-William A. White Building

6. Recreational Therapy-Hagen Hall
7. Musicology Unit-Dix Pavilion
8. Chaplaincy Program-Chapel
9. Psychodrama Unit - Hitchcock Hall
10. Individual Psychotherapists Offices-In various Divisions, Saint Elizabeths Hospital, Washington D.C. 20032 Records are stored at Federal Records Center, Suitland, Maryland.

Categories of individuals covered by the system: All past and present patients of Saint Elizabeths Hospital.

Categories of records in the system: Patient demographic data; records of patient participation in each of the above-named clinical support programs; therapists' informal notes of observations and evaluations of patient activities; clinical impressions; attendance records, test results, abstracts of notes and observations taken from the patient's medical record.

Authority for maintenance of the system: 24 USC 161, et seq.; 21 DC Code 562.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information is routinely disclosed to persons not employees of SEH, who have a responsibility for the examination and/or treatment of SEH patients;

1. To the Department of Justice or other appropriate Federal agencies in defending claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Departmental Regulations, 45 CFR 5(b), Item 100).
2. To organizations deemed qualified by the Secretary to carry out quality assessment, medcial audits or utilization review. (Appendix B, Departmental Regulations, 45 CFR 5(b), Item 102).
3. Disclosures in the course of employee discipline or competence determination proceedings. (Appendix B, Departmental Regulations, 45 CFR 5(b), Item 103).
4. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
5. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: File folders, index cards, punchards, record logs and file cabinets.

Retrievability: Name, hospital number, dates of activities, location of activity.

Records are used:
1. To facilitate the treatment of patients at Saint Elizabeths Hospital.
2. To assess the physical, educational, vocational, recreational and psychological needs of patients at Saint Elizabeths Hospital and to provide for those needs.
3. To evaluate the effectiveness of the clinical support programs and to provide a basis for their continuing improvement.
4. To facilitate clinical support services teaching programs and scientific research.

Indexes based on the clinical support services record system are used for the following purposes:
a. speedy identification and location of specific patients;
b. monitoring the completeness of patient records;
c. monitoring the changing status of patients either in terms of transfers within the Hospital or outside the Hospital;
d. easy identification of basic demographic data used for statistical and/or research purposes; and
e. quick review of current treatment regimen.

Safeguards:

1. Available only to properly trained and screened personnel.
2. Access limited to authorized personnel only. Enforced by security guards; rooms are locked when unoccupied.

Retention and disposal: Records may be retired to a Federal Records Center and subsequently disposed of in accordance with the ADAMHA Records Control Schedule. The disposal standard for these records may be obtained by writing the system manager at the address below.

System manager(s) and address:

Acting Director
Division of Clinical Support Programs
A Building
Saint Elizabeths Hospital
Washington, D.C. 20032

Notification procedure: A patient or former patient may have access to his/her record upon written request, with notarized signature if request is made by mail or with suitable identification if request is made in person, directed to:

Privacy Act Coordinator
Office of the Director of Clinical Support Program
A Building
Saint Elizabeth's Hospital
Washington, D. C. 20032

All of the following information must be provided when requesting access:
(a) Full name;
(b) Approximate dates of enrollment at St. Elizabeths Hospital;
(c) The name of the division where the requestor resided, or received treatment as an outpatient;
(d) The identity of the clinical support service and the approximate dates of participation in the program;
(e) If possible, the name of the individual therapist;
(f) If possible, the patient's hospital number.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Write the Privacy Act Coordinator, Office of the Director of Clinical Support Programs, A Building, Saint Elizabeths Hospital, Washington, D.C. 20032. Reasonably identify the record and specify the information to be contested in accordance with Department regulations, Federal Register, October 8, 1975, page 47411 (45 C.F.R. Part 5b.7)

Record source categories: Past and present patients of Saint Elizabeths Hospital, various employees of the Hospital and the patients' medical/clinical record.

Systems exempted from certain provisions of the act: None

09-30-0008

System name: Saint Elizabeths Hospital Social Services Record System - HEW/ADAMHA/NIMH.

Security classification: None.

System location: A widely decentralized system at Saint Elizabeths Hospital. Individual records are kept in the offices of social workers responsible for patients on the rolls of the various Hospital Divisions. Social workers' offices are located in each inpatient and outpatient division or clinic at Saint Elizabeths Hospital.

Saint Elizabeths Hospital
Washington, D.C. 20032
and Federal Records Center
Suitland Maryland

Categories of individuals covered by the system: All past and present patients on the rolls of Saint Elizabeths Hospital; home sponsors; caretakers; owners and operators of facilities providing services to patients.

Categories of records in the system: Files on inpatients and outpatients containing demographic data; Social Worker's contact with families and the community including social, marital and family status, job status; identifying information containing name, address, telephone numbers, social security numbers, Medicaid numbers, date of birth, legal status, financial information hospital number, V.A. numbers, Health Insurance numbers, Civil Service Numbers, family composition; Statement on background, names of relatives conservators with addresses and telephone numbers; correspondence sent other agencies; information regarding psychiatric and

medical condition; Social histories; progress notes (carbon copies of notes placed in chart) hand written progress notes not in chart, return to hospital notes, interval histories, placement and planning notes; information regarding psychiatric and medical condition, financial resources, treatment plans, correspondence to relatives, friends other agencies, etc. Telephone interviews or conversations incident reports and copies of reportable occurrences, group therapies and individual therapies by social workers, daycare status and group activities, religious histories; intra-agency evaluative and assessment data and reports received from other sources, outside agencies that provide supportive services; essential information regarding services sought or received.

Authority for maintenance of the system: 24 USC 161, et seq.; 21 DC Code 562.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information is routinely disclosed to the following sources for the purposes of obtaining financial assistance for patients, locating community recreation resources, providing job placement and training for patients, securing alternative placements in other institutions, providing education, securing living and care arrangements and aiding in follow-up care, and providing required reports to court, state government or Federal government agencies:

1. Foster home sponsors, caretakers, owners and operators of facilities

providing services to patients

2. Agencies of the District of Columbia Government
3. The Superior Court for the District of Columbia
4. The United States District Court for the District of Columbia
5. The Veteran's Administration
6. The U.S. Civil Service Commission
7. Anchor Mental Health Association
8. State Departments of Social Services throughout the United States; Information disclosed routinely to persons, who are not employees of SEH, on a need to know basis, who have a responsibility for the care and treatment of patients of SEH.
9. Under Appendix B, Departmental Regulations, 45 CFR 5(b):

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

(3) In the event the Department deems it desirable or necessary, in determining whether particular records are required to be disclosed under the Freedom of Information Act, disclosure may be made to the Department of Justice for the purpose of obtaining its advice.

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

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

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

(6) Where federal agencies having the power to subpoena other federal agencies' records, such as the Internal Revenue Service or the Civil Rights Commission, issue a subpoena to the Department for records in this system of records, the Department will make such records available.

(8) Where the appropriate official of the Department, pursuant to the Department's Freedom of Information Regulation determines that it is in the public interest to disclose a record which is otherwise exempt from mandatory disclosure, disclosure may be made from this system of records.

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

(100) To the Department of Justice or other appropriate Federal agencies in defending claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual.

(101) To individuals and organizations, deemed qualified by the Secretary to carry out specific research solely for the purpose of carrying out such research.

(102) To organizations deemed qualified by the Secretary to carry out quality assessment, medcial audits or utilization review.

(103) Disclosures in the course of employee discipline or competence determination proceedings.

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

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

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

Storage: Index cards, folders, notebooks, file cabinets, desk drawers, Rolodex, Kardex, index boxes, logs, file folders, boxes, hanging desk file, manilla folders, wooden box, and vertical file.

Retrievability: By patient's name and staff's name. Records are used for:

1. Information used in planning to assess the patient's overall ability to be placed and to adjust or function in the type of environment for which he has referred.
2. Accountability to other hospital personnel and reference for recording or sharing information with staff and other necessary persons upon request.
3. To share information with team, reference for casework services and reference for completing forms.
4. To monitor patient's progress and periodically assess placement situations in outplacement facilities. To monitor outplacement facilites outside the hospital and assist in placement of patients by providing accurate up-to-date information regarding available facilities; and to determine the status of compliance of a facility with certain standards through appropriate licensing agencies. To familiarize staff with outplacement facilities. Used to assess outplacement operators, administrators or owners ability to provide the level of care needed by individual patients. To share patient's background and appropriate information with outplacement owners, operators and sponsors.
5. To expedite family involvement in planning patient care and to expedite mobilization of community resources on behalf of the patient.
6. Resource in diagnosis, treatment, planning, prognosis goals and communication with other disciplines.

7. Resource material gathered by the social workers used to prepare narrative summaries for the patient's medical records.
8. To keep informed about social services provided patients; patients problem areas in the unit for purpose of evaluating services provided and need for action, and for reporting to the Clinical Directors or person in charge of service.
9. Identifying information concerning outplacement facilities given to patients periodically who request help in locating place to live.
10. Resource material used for purpose of diagnostic planning and implementation of treatment plan - documentation of services offered.
11. For reference in order to complete summaries for medical records; to have readily available pertinent information with which to respond to personal and telephone contacts; to provide needed information to hospital staff, officials of other agencies responsible for the provision of adjunct services.
12. Provide inservice training for continued professional development.
13. Provide Hospital staff and patients with essential information for selecting appropriate living arrangements for patients in the community.
14. To expedite family involvement in planning patient care and to expedite mobilization of community resources on behalf of patients.
15. Provide nutritional information to community placement service social workers; provide nutritional guidance and support to foster home sponsors and to advise staff of dietary practices in outplacement facilities and of nutritional (above 021) and historical purposes.
16. Provide information to placing workers of approved resources in order to facilitate the matching process of patient and outplacement operator as to insure the patient's optimum adjustment to community living.
17. A uniform system for location of staff, indication of qualification and areas of responsibility.

Safeguards: Offices locked, File cabinets locked, desk drawers locked. Material available to appropriately trained staff:

Retention and disposal: Records may be retired to a Federal Records Center and subsequently disposed of in accordance with the ADAMHA Records Control Schedule. The disposal standard for these records may be obtained by writing the system manager at the address below.

System manager(s) and address:

Director of Social Services
A Building
Saint Elizabeths Hospital
Washington, D.C. 20032

Notification procedure: Active or discharged patients in this system of records may have access to their records upon written request, with notarized signature if request is made by mail or with suitable identification if request is made in person, directed to:

Privacy Act Coordinator
Office of the Director of Social Services
A Building
Saint Elizabeths Hospital
Washington, D.C. 20032

All of the following information must be provided when requesting access:
(a) Full name;
(b) The approximate dates of contact with the hospital;
(c) The nature of the material desired.
(d)Hospital number, if possible.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Write the Privacy Act Coordinator, Office of the Director of Social Services, A Building, Saint Elizabeths Hospital, Washington, D.C. 20032. Reasonably identify the record and specify the information to be contested in accordance with Department regulations, Federal Register, October 8, 1975, page 47411 (45 C.F.R. Part 5b.7).

Record source categories: Past and present patients of Saint Elizabeths Hospital, home sponsors, caretakers, owners, and operators of facilities providing services to Saint Elizabeths patients, other employees of Saint Elizabeths Hospital, employees of various agencies of the District of Columbia and the United States.

Systems exempted from certain provisions of the act: None.

09-30-0009

System name: Saint Elizabeths Hospital Multidisciplinary Raw Data Consultation Files - HEW/ADAMHA/NIMH.

Security classification: None.

System location: Widely decentralized at Saint Elizabeths Hospital. Raw data is stored according to location of the consulting discipline.

Saint Elizabeths Hospital
Washington, D.C. 20032
and Federal Records Center
Suitland, Maryland

Categories of individuals covered by the system: Past and present patients at Saint Elizabeths Hospital.

Categories of records in the system: Raw test data, plus a copy of formal reports based on the data which are included in patient's medical/clinical record.

Authority for maintenance of the system: 24 USC 161, et seq.; 21 D.C. Code 562.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: File folders and index cards, file cabinets.

Retrievability: Each consulting discipline stores and manages its own files. Some are stored by patient's names alphabetized, some by patient's numbers, some by other types of categorizing, such as disease categories, year consultation was performed, referring clinical service, or an arbitrary numerical sequence. The latter usually involve a cross-indexing card file by patient name and/or patient number. Records are used for:

1. Detailed reference by consultants, following clinical requests for reassessment or more detailed information of patients previously tested.
2. Detailed comparison of test-retest results in cases where clinically indicated or requested.
3. Occasional compilations of specific clinical characteristics of statistical groupings, such as by disease entity, age, sec, etc. for clinical research and improvement of clinical reporting.

Safeguards: Files usually accessible only to qualified members of the consulting staff of the particular discipline, kept in staffed or otherwise locked offices.

Retention and disposal: Records may be retired to a Federal Records Center and subsequently disposed of in accordance with the ADAMHA Records Control Schedule. The disposal standard for these records may be obtained by writing the system manager at the address below.

System manager(s) and address:

Superintendent
A Building
Saint Elizabeths Hospital
Washington, D.C. 20032

Notification procedure: A patient or former patient may have access to his/her record upon written request, with notarized signature if request is made by mail or with suitable identification if request is made in person, directed to:

Privacy Act Coordinator
Office of Superintendent
A Building
Saint Elizabeths Hospital
Washington, D.C. 20032

All of the following information must be provided when requesting access:
(a) Full name;
(b) Approximate dates of enrollment at St. Elizabeth's Hospital;
(c) The nature of the material desired;
(d) If possible, the name of the person who collected the data.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Write the Privacy Act Coordinator, Office of Superintendent, A Building, Saint Elizabeths Hospital, Washington, D.C. 20032. Reasonably identify the record and specify the information to be contested in accordance with Department regulations, Federal Register, October 8, 1975, page 47411 (45 C.F.R. Part 5b).

Record source categories: Clinical testing of patients referred for consultation.

Systems exempted from certain provisions of the act: None.

09-30-0010

System name: Saint Elizabeths Hospital Juvenile Education Monitoring System - HEW/ADAMHA/NIMH.

Security classification: None.

System location:

Administration Building
Saint Elizabeths Hospital
Washington, D.C. 20032

Categories of individuals covered by the system: All patients under 18 years of age on rolls of Saint Elizabeths Hospital.

Categories of records in the system: Inpatient and outpatient educational records. The educational records contain identifying data, name, date, and place of birth, age, sex, race legal category, leave and residential status, admission, discharged date, identification or relative and hospital identification, educational information, current functional level, educational achievement, medical neurological and/or psychological problems with significant influence, patient adjustment to educational program, past/present academic educational plan or program. Reports or notes of others who contribute to a patients educational development.

Authority for maintenance of the system: 24 U.S.C. 161 and Mills v. Bd. of Education of the Dist. of Columbia, 348 F. Supp 866 (D.C. D.C. 1972).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

1. Disclosures in prepared reports for D.C. School Board personnel who are not employees of Saint Elizabeths Hospital.
2. Disclosures of information on patient's behalf in matters such as educational achievement needs to third parties whose involvement would be of benefit to the patient.
3. Disclosures in mandatory reports under Federal and local law.
4. Disclosures derived from St. Elizabeth's Hospital monitoring of educational programs for school-aged children to assure that all children are served and provided the Office of the Assistant Superintendent of the Public Schools of the District of Columbia as required under Mills v. Board of Education of D.C., 348 F. Supp 866 (D.C.; D.C. 1972).
5. Transmittals of, information to the Department of Special Education of the District of Columbia Public School System, to assist in coordinating educational efforts as mandated by Mills v. Board of Education of D.C., 348 F. Supp. 866 (D.C. D.C. 1972).
9. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Records are in the Administration on Building Room 118 and Room 308. File folders with general educational record and correspondence files are kept in metal file cabinets. Index cards, monitoring cards, kardex are in their appropriate containers.

Retrievability: Index by patient's name, Hospital number division. The records are used as follows:

1. To monitor academic educational programs of patients under 18 years of age on roles of Saint Elizabeths Hospital.
2. Documentation of a patient's educational achievement to provide for continuous monitoring and distribution by division.
3. To provide a continuous educational program, both medical and psychiatric, for the individual patient, including a follow-up program for reference upon future hospitalization.
4. Use by agency personnel for periodic assessment of the quality of educational achievement review.
5. To assist the staff in providing for a patient's educational needs.
6. To occasionally provide the basis for action in the Course of employee discipline or competence determination proceedings.
7. To facilitate teaching programs and scientific research; to further knowledge in the areas of diagnosis and treatment, comparative studies and special educational programs.
8. Indexes based on the educational records are routinely used for: a. speedy identification and location of specific patients; b. monitoring the completeness of patient-educational records, particularly those under 18; c. monitoring the changing status of patients, either in terms of transfers within the Hospital or outside the Hospital; d. easy identification of basic demographic data used for statistical and/or research purposes; e. quick review of current treatment regimen in individual cases.

Safeguards:

1. Available only to properly trained and screened personnel.
2. Access limited to authorized personnel only. Enforced by security personnel. Rooms are locked when unoccupied.

Retention and disposal: Records may be retired to a Federal Records Center and subsequently disposed of in accordance with the ADAMHA Records Control Schedule. The disposal standard for these records may be obtained by writing the system manager at the address below.

System manager(s) and address:

Associate Director for Psychology
Administration Building, Room 308
Saint Elizabeths Hospital
Washington, D.C. 20032

Notification procedure: An individual may have access to his/her record upon written request, with notarized signature if request is made by mail or with suitable identification if request is made in person, directed to:

Privacy Act Coordinator
Office of the Associate Director for Psychology
A Building
Saint Elizabeths Hospital
Washington, D.C. 20032

All of the following information must be provided when requesting access:
(a) Full name and home address
(b) Approximate dates of enrollment at Saint Elizabeths Hospital
(c) Division where treatment is or was provided, and education level
(d) The nature of the material desired

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Write the Privacy Act Coordinator, Office of the Associate Director, A Building, Saint Elizabeths Hospital, Washington, D.C. 20032. Reasonably identify the record and specify the information to be contested in accordance with Department regulations, Federal Register, October 8, 1975, page 47411 (45 C.F.R. Part 5b.7)

Record source categories: Educational records: a compilation of sociological, medical and historical data of a patient. The information recorded as given by the patient, his realtives, or other third persons interested in the patient; from existing records used as reference; from educational tests, such as physicians, psychiatrists, teachers, social worker; other therapists who entered their observations and assessment by means of progress notes, reports etc.

Systems exempted from certain provisions of the act: None.

09-30-0011

System name: Saint Elizabeths Hospital Central Admission Service Non-Admission File System - HEW/ADAMHA/NIMH.

Security classification: None.

System location:

Central Admission Service
Dix Building
Saint Elizabeths Hospital
Washington, D.C. 20032

Categories of individuals covered by the system: Individuals who have presented themselves at the Central Admission Service but who were not admitted to the rolls of Saint Elizabeths Hospital.

Categories of records in the system: Personal identifying data collected during admissions screening interview, information from previous hospitalizations of clinic enrollment, and information about individuals collected from telephone conversations with interested persons.

Authority for maintenance of the system: 24 USC 161, et seq.; 21 D.C. Code 501, et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: File cabinets.

Retrievability: Filed alphabetically by name. To provide additional screening material in cases of repeated applications for admission of the same patient.

Safeguards: Access limited to authorized personnel only, enforced by security force, rooms locked when unoccupied.

Retention and disposal: Records may be retired to a Federal Records Center and subsequently disposed of in accordance with the ADAMHA Records Control Schedule. The disposal standard for these records may be obtained by writing the system manager at the address below.

System manager(s) and address:

Director, Central Admissions Service
Saint Elizabeths Hospital
Washington, D.C. 20032

Notification procedure: A person denied admission may have access to his/her record upon written request, with notarized signature if request is made by mail or with suitable identification if request is made in person, directed to

Privacy Act Coordinator
Office of the Director
Central Admissions Service
Saint Elizabeths Hospital
Washington, D.C. 20032

All of the following information must be provided when requesting access: a. full name; b. approximate date the person sought admission; c. the nature of the material desired.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Write the Privacy Act Coordinator, Office of the Director, Central Admissions Service, Saint Elizabeths Hospital, Washington, D.C. 20032. Reasonably identify the record and specify the information to be contested in accordance with Department regulations, Federal Register, October 8, 1975, page 47411 (45 C.F.R. Part 5b.7)

Record source categories: Interviews with persons applying for admission but ultimately not admitted, hospital records of prior admissions, and information provided by other persons related to or interested in the person seeking admission.

Systems exempted from certain provisions of the act: None.

09-30-0012

System name: Saint Elizabeths Hospital Pre-Service Education Records - HEW/ADAMHA/NIMH.

Security classification: None.

System location:

Saint Elizabeths Hospital
Washington, D.C. 20032
and Federal Records Center
Suitland, Maryland

Categories of individuals covered by the system: Students and trainees in medical and non medical mental health education programs, including persons who receive stipends and those who do not.

Categories of records in the system: Record categories include: (1) application data including transcripts, references, special health records where indicated, evaluation of prior training or education; (2) assessment and evaluation data regarding educational experiences at SEH; and (3) correspondence. Data are contained in written documents, audio tapes, and video tapes.

Authority for maintenance of the system: Public Service Act Section 301(42 U.S.C. 241).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Records are rountinely disclosed to the following third parties outside HEW: professional certifying and credentialing organizations, other training and teaching professionals or professional groups, and authorized researchers. Purposes of disclosure are for professional reference, professional education, program evaluation, Also disclosures in the course of employee discipline or competence determination proceedings. (Appendix B, Departmental Regulations, 45 CFR 5(b), Item 103). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: File folders and filing cabinets; audio and video tape reels in storage cabinets.

Retrievability: System is filed by name of individual, dates of training, disciplinary area in which training was received, primary supervisor, and whether the training was stipended or nonstipended. Records are used for: evaluation for selection and appointment; supervisory guidance and assessment; reference requests; specialized teaching resources, program evaluation and historical research.

Safeguards: Records are maintained in monitored offices and are only available to persons authorized to use records for the purposes for which they were collected.

Retention and disposal: Records may be retired to a Federal Records Center and subsequently disposed of in accordance with the ADAMHA Records Control Schedule. The disposal standard for these records may be obtained by writing the system manager at the address below.

System manager(s) and address:

Director, Overholser Division of Training
Saint Elizabeths Hospital
Washington, D.C. 20032

Notification procedure: Individual student or trainee may have access to his/her personal pre-service education record upon written request, with notarized signature if request is made by mail or with suitable identification if request is made in person, directed to:

Privacy Act Coordinator
Office of Director
Overholser Division of Training, Saint Elizabeths Hospital0
SEH
Washington, D.C. 20032

All the following identifying information must be provided when requesting access: a) full name; b) inclusive dates of training; c) specific disciplinary area in which training was received and organizational unit where assigned. d) name of primary supervisor. e) status in terms of stipended or non-stipended.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Write the Privacy Act Coordinator, Office of the Director, Overholser Division of Training, Saint Elizabeths Hospital, Washington, D.C. 20032. Reasonably identify the record and specify the information to be contested in accordance with Department regulations, Federal Register, October 8, 1975, page 47411 (45 C.F.R. Part 5b.7)

Record source categories: Information is secured from the individual trainee or student, persons supplying reference data, supervisory and administrative personnel, and other persons directly involved with the individual's educational program.

Systems exempted from certain provisions of the act: None.

09-30-0013

System name: Saint Elizabeths Hospital Training Videotape Records - HEW/ADAMHA/NIMH.

Security classification: None.

System location:

Saint Elizabeths Hospital
Washington, D.C. 20032

Categories of individuals covered by the system: SEH patients, trainees and staff of SEH.

Categories of records in the system: Videotapes of interviews, activities, or other interactions between SEH patients and professional trainees and staff of SEH; authorizations (informed consent) signed by patients.

Authority for maintenance of the system: Public Health Service Act Section 301(42 U.S.C. 241).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To approved persons and organizations for program evaluation and/or research. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Videotape reels, authorizations retained in file folders.

Retrievability: Name of patient, name of interviewer. This record is used for training and education purposes.

Safeguards: Locked files in monitored offices.

Retention and disposal: Records may be retired to a Federal Records Center and subsequently disposed of in accordance with the ADAMHA Records Control Schedule. The disposal standard for these records may be obtained by writing the system manager at the address below.

System manager(s) and address:

Director, Overholser Division of Training
Saint Elizabeths Hospital
Washington, D,C. 20032

Notification procedure: An individual may have access to his/her record upon written request, with notarized signature if request is made by mail or with suitable identification if request is made in person, directed to:

Privacy Act Coordinator
Office of the Director, Overholser Division of Training
Saint Elizabeths Hospital
Washington, D.C. 20032

All of the following information must be provided when requesting access: (a) full name; (b) approximate data of videotaping; (c) name of interviewer; (d) the capacity in which the requester had contact with the hospital; e.g., patient, staff member, trainee. (e) if possible, in the case of patients, the hospital number; (f) location of unit where videotaping occurred.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Write the Privacy Act Coordinator, Office of the Director, Overholser Division of Training, Saint Elizabeths Hospital, Washington, D.C. 20032. Reasonably identify the record and specify the information to be contested in accordance with Department regulations, Federal Register, October 8, 1975, page 47411 (45 C.F.R. Part 5b.7)

Record source categories: SEH patients, trainees and staff.

Systems exempted from certain provisions of the act: None.

09-30-0014

System name: Saint Elizabeths Hospital Financial System - HEW/ADAMHA/NIMH.

Security classification: None.

System location:

Finance Office
Saint Elizabeths Hospital
Washington, D.C. 20032
and Federal Records Center
Suitland, Maryland

Categories of individuals covered by the system: Present and former employees and patients.

Categories of records in the system: Deposits; receipts; disbursements; balances; NCR ledger cards; vouchers; travel; education; billings; background history; and reimbursement claims; Industrial Therapy Program data, Internal Revenue Service Form W-4 and D.C. Government Form D-4, Payroll Summary sheets and individual patient ledger cards for patients and other patient worker's Industrial Therapy (PWITP) data and indebtedness letters.

Authority for maintenance of the system: Hospitalization of the Mentally Ill Act, 21 DC Code 511 et seq.; 24 USC 165 and 166; 31 USC 66A and 628a.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. To pay travel claims, educational institutions; to collect from the D.C. Government and Federal agencies for care and treatment and collect for quarters, lost or damaged property & other indebtedness to the Government. References for

outside employment, referral source for determining if job placement meets a patient's therapeutic needs or if a referral to an outside agency is needed. To determine amount of pay a patient earns for his Industrial Therapy assignment, and followup reasons for a patient's absence from his Industrial Therapy assignments. (Patients' Payroll) for printing time sheets, payroll summary sheets, and income tax withholding forms and monthly or quarterly earnings and tax returns as required. Also, Appendix B of DHEW Regulations, as follows:

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

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

(6) Where federal agencies having the power to subpoena other federal agencies' records, such as the Internal Revenue Service or the Civil Rights Commission, issue a subpoena to the Department for records in this system of records, the Department will make such records available. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: File folders in metal filing cabinets, index cards, and IBM cards.

Retrievability: Voucher date and number; numerically (receipts for patient's funds); alphabetically by name; Health Insurance Number and Hospital Case Number (Health Insurance records); bill number (for billings). Records are used to record expenditures and reimbursements for services and goods and all other financial transactions consistent with the management of the Hospital.

Safeguards: Access is limited to personnel who process the data respectively. Offices are locked.

Retention and disposal: Records may be retired to a Federal Records Center and subsequently disposed of in accordance with the ADAMHA Records Control Schedule. The disposal standard for these records may be obtained by writing the system manager at the address below.

System manager(s) and address:

Finance Officer
Administration Building
St. Elizabeths Hospital
Washington, D.C. 20032

Notification procedure: An individual may have access to his/her record upon written request, with notarized signature if request is made by mail or with suitable identification if request is made in person, directed to:

Privacy Act Coordinator
Finance Office
Saint Elizabeths Hospital Washington, D.C. 20032

All of the following information must be provided when requesting access: (a) full name; (b) dates of the contact with Saint Elizabeths Hospital; (c) the Branch, Division, or Office with which the requestor had contact; (d) the capacity in which the requestor had contact with the hospital, e.g., patient, employee, vendor, representative of professional organization, etc; (e) the nature of the material desired.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Write the Privacy Act Coordinator, Finance Office, Saint Elizabeths Hospital, Washington, D.C. 20032. Reasonably identify the record and specify the information to be contested in accordance with Department regulations, Federal Register, October 8, 1975, page 47411 (45 C.F.R. Part 5b).

Record source categories: Patient name plates, patient's accounts, receipts for patients' funds (generated when cash or other funds are accepted from a patient), patients' payroll data from the Industrial Therapy Section.

Patients' clinical records, interviews with ward staff, patient and work supervisor. Patient vouchers from patient, employees, Finance Section, Personnel Branch, Agency Cashier, patients' relatives, committees, conservators and other Government agencies. Patients' account data from the Agent Cashier.

Health Insurance data from the Patient's Medical Record, Social Security Administration, relatives and conservators, and Registrar.

Billings for care and treatment, quarters, etc. and indebtedness to the Government, Biometrics Branch, Housekeeping Section, Agent Cashier, and Administrative Services Section.

Systems exempted from certain provisions of the act: None.

09-30-0015

System name: Saint Elizabeths Hospital General Security System -- HEW/ADAMHA/NIMH.

Security classification: None.

System location:

Security Headquarters
Allison-B Building
St. Elizabeths Hospital
Washington, D.C. 20032
and Federal Records Center
Suitland, Maryland

Categories of individuals covered by the system: Former and Current Patients and Employees, Relatives, Volunteers and Visitors.

Categories of records in the system: Identifying information including one or more of name, hospital number, photo, key number, vehicle sticker number, authorization to admit, dates and times of visits, addresses and other personal data.

Authority for maintenance of the system: 24 USC 161, et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: 1. In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, or foreign, charged with the responsiblity of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto. (Appendix B, Departmental Regulations, 45 CFR 5(b), Item 1).

2. In the event that a system of records maintained by this agency to carry out its function indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether state or local charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto. (Appendix B, Departmental Regulations, 45 CFR 5(b), Item 5).

3. To the Department of Justice or other appropriate Federal agencies in defending claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Departmental Regulations, 45 CFR 5(b), Item 100).

4. Disclosures in the course of employee discipline or competence determination proceedings. (Appendix B, Departmental Regulations, 45 CFR 5(b), Item 103).

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

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

Storage: Index cards, file folders, picture files.

Retrievability: Name, hospital number, sticker and key number, and chronologically. The purpose of this record is to monitor authorized access and exit of individuals and vehicles to and from Buildings and grounds of Hospital: accountability of building and room key assignments and vehicle sticker assignments; identification for search of missing persons.

Safeguards: 24 hour security guard.

Retention and disposal: Records may be retired to a Federal Records Center and subsequently disposed of in accordance with the ADAMHA Records Control Schedule. The disposal standard for these records may be obtained by writing the system manager at the address below.

System manager(s) and address:

Captain Security Force
St. Elizabeths Hospital
Washington, D.C. 20032

Notification procedure: A patient, former patient, employee, former employee, relative, volunteer or visitor may have access to his/her record, upon written request, with notarized signature if request is made by mail or with suitable identification if request is made in person, directed to:

Privacy Act Coordinator
Security Force
St. Elizabeths Hospital
Washington, D.C. 20032

All of the following information must be provided when requesting access: (a) full name; (b) the capacity in which the requestor had contact with St. Elizabeths Hospital; (c) the approximate dates of contact with the hospital; (d) the nature of the material desired.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Write the Privacy Act Coordinator, Security Force, Saint Elizabeths Hospital, Washington, D.C. 20032. Reasonably identify the record and specify the information to be contested in accordance with Department regulations, Federal Register, October 8, 1975, page 47411 (45 C.F.R. Part 5b).

Record source categories: Hospital Staff, Medical Records, patients and relatives.

Systems exempted from certain provisions of the act: None.

09-30-0016

System name: Saint Elizabeths Hospital Patients Personal Property Record System -- HEW/ADAMHA/NIMH.

Security classification: None.

System location:

Patients Property Unit
Glenside Building
Saint Elizabeths Hospital
Wash., D.C. 20032
and Federal Records Center
Suitland, Maryland

Categories of individuals covered by the system: Former & Current Patients.

Categories of records in the system: 1. Inventory of patients private property on admission, newly acquired property, released property, and unclaimed property. 2. Comments on condition of private property, damages, lost and storage status. 3. Receipts of authorizations for purchases & vendors receipts.

Authority for maintenance of the system: 24 USC 161, et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

1. In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, or foreign, charged with the responsiblity of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto. (Appendix B, Departmental Regulations, 45 CFR 5(b), Item 1).

2. In the event that a system of records maintained by this agency to carry out its function indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether state or local charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto. (Appendix B, Departmental Regulations, 45 CFR 5(b), Item 5).

3. Where the appropriate official of the Department, pursuant to the Department's Freedom of Information Regulation determines that it is in the public interest to disclose a record which is otherwise exempt from mandatory disclosure, disclosure may be made from this system of records. (Appendix B, Departmental Regulations, 45 CFR 5(b), Item 8).

4. Disclosures in the course of employee discipline or competence determination proceedings. (Appendix B, Departmental Regulations, 45 CFR 5(b), Item 103). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Folders and cards.

Retrievability: By name, alphabetized. This record is used for: documenting entries and releases of personal property; accounting and verifying documented inventories & purchases; for internal referrals by patient property office staff and legally appointed administrators.

Safeguards: Only patient property staff use files. At night office is locked.

Retention and disposal: Records may be retired to a Federal Records Center and subsequently disposed of in accordance with the ADAMHA Records Control Schedule. The disposal standard for these records may be obtained by writing the system manager at the address below.

System manager(s) and address:

Supervisory Storage Management Specialist
Patients Property Unit
Glenside Building

Saint Elizabeths Hospital
Washington, D.C. 20032

Notification procedure: A patient or former patient may have access to his/her record upon written request, with notarized signature if request is made by mail or with a suitable identification if request is made in person, directed to:

Privacy Act Coordinator
Property Unit
Glenside Building
Saint Elizabeths Hospital
Washington, D.C. 20032

All of the following data must be provided when requesting access: (a) full name; (b) approximate dates of enrollment at Saint Elizabeths Hospital; (c) if possible, the patient's hospital number; (d) the nature of the material desired.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Write the Privacy Act Coordinator, Property Unit, Glenside Building, Saint Elizabeths Hospital, Washington, D.C. 20032. Reasonably identify the record and specify the information to be contested in accordance with Department regulations, Federal Register, October 8, 1975, page 47411 (45 C.F.R. Part 5b).

Record source categories: Admission report lists, ward reports, patients' correspondence files.

Systems exempted from certain provisions of the act: None.

09-30-0017

System name: Saint Elizabeths Hospital Legal Office Record System -- HEW/ADAMHA/NIMH.

Security classification: None.

System location:

Legal Advisors Office
Administration Building
Saint Elizabeths Hospital
Wash., D.C. 20032

Categories of individuals covered by the system: Former and Current Patients and Employees.

Categories of records in the system: Information concerning the legal status and aspects of former and current patients and employees.

Authority for maintenance of the system: 42 U.S.C. 3504.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Negotiations with U.S. Attorneys Office, D.C. Courts, Mental Health Commission, Corporation Counsel, Justice Department, attorneys and other concerned with the legal considerations of patients and employees. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: File folders and index cards.

Retrievability: Patient or employee name. The purpose of this record is to determine, monitor, and follow up legal status, rights, and problems of individual employees and patients. Used as resource material in preparation for civil actions or proceedings.

Safeguards: Access restricted to Legal Office staff. Locked at night.

Retention and disposal: Records may be retired to a Federal Records Center and subsequently disposed of in accordance with the ADAMHA Records Control Schedule. The disposal standard for these records may be obtained by writing the system manager at the address below.

System manager(s) and address:

Legal Advisor
Administration Building
Saint Elizabeths Hospital
Washington, D.C. 20032

Notification procedure: An individual may have access to his/her record, subject to the limitations of 5 USC 552a(d)(5), upon written request, with notarized signature if the request is made by mail or with suitable identification if request is made in person, directed to:

Privacy Act Coordinator
Legal Advisor's Office
Saint Elizabeths Hospital
Washington, D.C. 20032

All of the following information must be provided when requesting access: (a) full name; (b) the capacity in which the requestor had contact with St. Elizabeths Hospital; (c) the approximate dates of contact with the hospital; (d) the nature of the material desired.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Write the Privacy Act Coordinator, Legal Advisor's Office, Saint Elizabeths Hospital, Washington, D.C. 20032. Reasonably identify the record and specify the information to be contested in accordance with Department regulations, Federal Register, October 8, 1975, page 47411 (45 C.F.R. Part 5b).

Record source categories: Patient records, commitment folders, staff reports, Auditors Office of D.C. Superior Court, Court System of D.C., Mental Health Commission U.S. Attorney's Office, Corporation Counsel and private attorneys.

Systems exempted from certain provisions of the act: None.

09-30-0018

System name: Saint Elizabeths Hospital Area D Community Mental Health Center Citizens Advisory Groups Records-- HEW/ADAMHA/NIMH.

Security classification: None.

System location:

Community Mental Health Center
Saint Elizabeths Hospital
Washington, D.C. 20032

Categories of individuals covered by the system: Members of Citizens Advisory Committee, agencies, organizations, school students and citizens interested in CMHC activities.

Categories of records in the system: Names, addresses, telephone numbers, occupations, transmittal letters and various memoranda.

Authority for maintenance of the system: Mental Retardation Facilities and Community Mental Health Centers Construction Act of 1963 (42 U.S.C. 2661 et seq.).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Mailing list with name and addresses are exchanged with Area D citizens groups. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: File folders, index cards and paper tapes in cabinets.

Retrievability: By name. This is used to maintain a directory of persons and organizations and a file of communications with those who act in an advisory capacity to Mental Health Area D.

Safeguards: Access is limited to authorized personnel only.

Retention and disposal: Records may be retired to a Federal Records Center and subsequently disposed of in accordance with the ADAMHA Records Control Schedule. The disposal standard for these records may be obtained by writing the system manager at the address below.

System manager(s) and address:

Associate Director for Community Liaison and Public Education
Area D - CMHC, R Building
St. Elizabeths Hospital
Washington, D.C. 20032

Notification procedure: An individual in this system of records may have access to his/her record upon written request directed to:

Privacy Act Coordinator
Assoc. Director for Community Liaison and Public Education
Community Mental Health Center
St. Elizabeths Hospital
Washington, D.C. 20032

the following information must be provided when requesting access: (a) fullname; (b) capacity in which requestor had contact with the CMHC Area D Citizen Advisory group; (c) nature of information desired.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Write the Privacy Act Coordinator, Associate Director for Community Liaison and Public Education, CMHC, Saint Elizabeths Hospital, Washington, D.C. 20032. Reasonably identify the record and specify the information to be contested in accordance with Department regulations, Federal Register, October 8, 1975, page 47411 (45 C.F.R. Part 5b).

Record source categories: Information is voluntarily written on sign-in sheets at various community meetings and solicited through surveys.

Systems exempted from certain provisions of the act: None.

09-30-0019

System name: Saint Elizabeths Hospital Court-Ordered Forensic Investigatory Materials File--HEW/ADAMHA/NIMH.

Security classification: None.

System location: Active Patients:

Saint Elizabeths Hospital
John Howard Pavilion
Washington, D.C. 20032

Discharged patients: The court-ordered forensic investigatory materials files of discharged or expired patients are located in the Administration Building, Saint Elizabeths Hospital; the basement of that building; and inactive records older than four years are stored in the Federal Records Center in Suitland, Maryland.

Categories of individuals covered by the system: Past and present patients committed to Saint Elizabeths Hospital pursuant to the District of Columbia and United States Criminal Codes. Included are alleged criminal offenders sent for pre-trial examination; persons committed after having been found not guilty by reason of insanity; and mentally ill sentenced prisoners transferred from penal institutions.

Categories of records in the system: Court orders; criminal records; police reports; reports from the FBI and the Secret Service; prison records; reports from the United States Attorney and/or Corporation Counsel; correspondence from courts, defense attorneys and prosecutors; probation and parole reports; and, correspondence from Saint Elizabeths Hospital to the Courts, prosecution, defense and correctional authorities.

Authority for maintenance of the system: 24 D.C. Code Sections 301(a), 301(b), 301(d), 302; 24 U.S.C. 161 and 211 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Psychiatric evaluations based in part on this record are forwarded to referring courts, pursuant to order, with copies to defense and prosecuting attorneys. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Stored in file folders in file cabinets.

Retrievability: Retrieved by name and hospital number. Records are used to aid in evaluation of patients regarding their competency and criminal responsibility, to aid in treatment of criminally committed patients, and to comply with court-ordered reporting.

Safeguards: Available only to properly trained and screened personnel. Access limited to authorized individuals only. Enforced by security personnel. Rooms are locked when unoccupied.

Retention and disposal: Records may be retired to a Federal Records Center and subsequently disposed of in accordance with the ADAMHA Records Control Schedule. The disposal standard for these records may be obtained by writing the system manager at the address below.

System manager(s) and address:

Chief, Pre-trial Section or
Chief, Post-trial Section
Division of Forensic Programs
Saint Elizabeths Hospital
Washington, D.C. 20032

Notification procedure: None.

Record access procedures: None.

Contesting record procedures: None.

Record source categories: Courts, police department, FBI, Secret Service, prisons, U. S. Attorney, Corporation Counsel, defense attorneys, prosecuting attorneys, and correctional authorities.

Systems exempted from certain provisions of the act: Exemption from notification, record access and contest provisions granted under (j)(2) of the Privacy Act. Exemption notice published in the Federal Register of August 14, 1975.

09-30-0020

System name: Administrative records on civilly committed drug abusers under the Narcotic Addict Rehabilitation Act--HEW/ADAMHA/NIDA.

Security classification: None.

System location:

Division of Community Assistance
National Institute on Drug Abuse
Room 712, Rockwall Building
11400 Rockville Pike
Rockville, Md. 20852

Categories of individuals covered by the system: Civilly committed narcotic addicts.

Categories of records in the system: Administrative records of rehabilitation status, court orders and other legal documents.

Authority for maintenance of the system: Narcotic Addict Rehabilitation Act,Titles I and III (28 U.S.C. 290 et seq. and 42 U.S.C. 3411 et seq.).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the

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

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

Storage: Records stored in file folders within open shelves.

Retrievability: Filed alphabetically by patient name. Used to monitor patient progress from time of entrance into treatment program until discharge.

Safeguards: Only authorized Federal staff have access to these files. Files are not allowed to be taken off the premises. File room is locked after business hours.

Retention and disposal: Records may be retired to a Federal Records Center and subsequently disposed of in accordance with the ADAMHA Records Control Schedule. The disposal standard for these records may be obtained by writing the system manager at the address below.

System manager(s) and address:

Medical Records Administrator
Division of Community Assistance
National Institute on Drug Abuse
Room 761, Rockwall Building
11400 Rockville Pike
Rockville, Md. 20852

Notification procedure: An individual may have access to his/her record upon written request, with notarized signature, addressed to the System Manager identified above.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Patients; drug treatment programs; courts.

Systems exempted from certain provisions of the act: None.

09-30-0021

System name: Patient medical records on PHS beneficiaries and civilly committed narcotic addicts treated at the PHS hospitals at Lexington, Kentucky and Fort Worth, Texas--HEW/ADAMHA/NIDA.

Security classification: None.

System location:

Division of Community Assistance
Room 761, Rockwall Building
11400 Rockville Pike
Rockville, Md. 20852

Categories of individuals covered by the system: PHS beneficiaries treated prior to 1967 and civilly committed narcotic addicts treated after 1966.

Categories of records in the system: Medical records.

Authority for maintenance of the system: Public Health Service Act Sections 321-326, 341(a)and(c), (42 U.S.C. 248-253, 257(a)and(c)); Narcotic Addict Rehabilitation Act, Titles I and II, (28 U.S.C. 2901 et seq. and 42 U.S.C. 3411 et seq.).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Hard copy--file folders within file boxes; microfilm--within enclosed file cabinet.

Retrievability: Filed by patient hospital number.

Safeguards: Only authorized Federal staff trained in record retrieval are allowed access to these files. Files may not be taken off premises.

Retention and disposal: Records may be retired to a Federal Records Center and subsequently disposed of in accordance with the ADAMHA Records Control Schedule. The disposal standard for these records may be obtained by writing the system manager at the address below.

System manager(s) and address:

Medical Record Administrator
Division of Community Assistance
National Institute on Drug Abuse
Room 761, Rockwall Building
11400 Rockville Pike
Rockville, Md. 20852

Notification procedure: An individual may have access to his/her record upon written request, with notarized signature, addressed to the System Manager identified above.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Patients, drug treatment programs, and courts.

Systems exempted from certain provisions of the act: None.

09-30-0022

System name: National Institute on Drug Abuse Addiction Research Center Federal Prisoner and non-prisoner Patient Files--HEW/ADAMHA/NIDA.

Security classification: None.

System location:

NIDA Addiction Research Center
P. O. Box 12390
Leestown Road
Lexington, KY 40511

Categories of individuals covered by the system: Federal prisoners and non-prisoner volunteers in drug addiction research program.

Categories of records in the system: Research, medical, and pharmacy records.

Authority for maintenance of the system: Public Health Service Act, Sections 301, 341(a)(42 U.S.C. 241, 257(a)); Drug Abuse Office and Treatment Act Section 501(21 U.S.C. 1191).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: File folders within locked file cabinets.

Retrievability: Filed alphabetically by patient name and project number. Records are used to evaluate and monitor patients' health; to record results of clinical experiments for analysis, presentation and publication of statistical reports.

Safeguards: Only authorized Federal staff are allowed access to these files. Files may not leave the premises. Files and fileroom are locked after business hours.

Retention and disposal: Records may be retired to a Federal Records Center and subsequently disposed of in accordance with the ADAMHA Records Control Schedule. The disposal standard for these records may be obtained by writing the system manager at the address below.

System manager(s) and address:

Program Assistant
NIDA Addiction Research Center
P.O. Box 12390
Leestown Road
Lexington, KY. 40511

Notification procedure: An individual may have access to his/her record upon written request, with notarized signature, addressed to the System Manager identified above. The request should include the patient's register number and the number of years of incarceration. An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.). A parent or guardian who requests notification of or access to a minor's record shall at the time the request is made designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The designate will receive the record in all cases and upon review will determine whether the record should be made available to the parent or guardian.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Patients; drug treatment programs; Bureau of Prisons; case workers; psychiatrists; research laboratories; and pharmacies and hospitals. Many of these records are confidential and privileged communications as guaranteed under Section 344(d) of the PHS Act.

Systems exempted from certain provisions of the act: None.

09-30-0023

System name: Records of Contracts Awarded to Individuals.

Security classification: None.

System location:

National Institute on Drug Abuse
Contracts Management Branch
Room 209, Rockwall Building
11400 Rockville Pike
Rockville, MD 20852

National Institute on Alcohol Abuse and Alcoholism
Contracts Management Branch
14-C-04, Parklawn Building
5600 Fishers Lane
Rockville, MD 20857

National Institute of Mental Health
Grants and Contracts Management Branch, OPA
Room 7-C-02, Parklawn Building
5600 Fishers Lane
Rockville, MD 20857

Categories of individuals covered by the system: Contractors and contractors' personnel.

Categories of records in the system: Curriculum vitae, salary information, evaluations of contractors by contract review committees.

Authority for maintenance of the system: Public Health Service Act Section 301 (42 U.S.C. 241 and 41 U.S.C. 252(c)). NIDA: Drug Abuse Office and Treatment Act Sections 410 and 501 (21 U.S.C. 1177 and 1191). NIAAA: Community Mental Health Centers Act, Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 Sections 101, 311 (42 U.S.C. 4551, 4577). NIMH: Public Health Service Act Section 455.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Documents filed in folder in enclosed file cabinets.

Retrievability: By contract number and cross-indexed by name, except for NIMH. Used by contract review committee members in assessing a proposal.

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

Retention and disposal: Records may be retired to a Federal Records Center and subsequently disposed of in accordance with the ADAMHA Records Control Schedule. The disposal standard for these records may be obtained by writing the system manager at the address below.

System manager(s) and address:

National Institute on Drug Abuse
Chief, Contracts Management Branch, OPS
Room 209, Rockwall Building
11400 Rockville Pike
Rockville, Md. 20852

National Institute on Alcohol Abuse and Alcoholism
Chief, Contracts Management Branch
Room 14-C-04, Parklawn Building
5600 Fishers Lane
Rockville, Md. 20857

National Institute of Mental Health
Chief, Grants and Contracts Branch
Room 7-C-02, Parklawn Building
5600 Fishers Lane
Rockville, Md. 20857

Notification procedure: Write to the system manager at the above address.

Record access procedures: Same as the above. Give number of contract under which employed.

Contesting record procedures: Same as the above.

Record source categories: Contract proposals and supporting documents, contract review committees, site visitors.

Systems exempted from certain provisions of the act: None.

09-30-0024

System name: Saint Elizabeths Hospital General Administrative Record Systems - HEW/ADAMHA/NIMH.

Security classification: None.

System location:

Office of the Superintendent
Saint Elizabeths Hospital
2700 Martin Luther King, Jr. Ave. S.E.

Washington, D.C. 20032
and Federal Records Center
Suitland, Maryland

Categories of individuals covered by the system: Former, current, and potential patients and employees.

Categories of records in the system: (1)Data having potential legal consequences included in investigation reports; (2) letters; (3) memos; (4) minutes of meetings and conferences; (5) organizational charts and assignments; (6) copies of disclosures of medical, biographical, employment, and educational information made from said investigation reports, letters, etc.

Authority for maintenance of the system: 24 USC 161, 21 DC Code 1501, 21 DC Code 562, 5 USC 7902, Executive Order 11807, 9/28/74 and Presidential Safety Policy 10/24/1969.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Data are used for professional and medical and psychiatric consultations, examination by professional accrediting organizations, evaluation of potential patients for admission and employees for hiring, responses to Congressional requests and inquiries, reporting treatment provided pursuant to 24 USC 168a to the following federal and local agencies: the District of Columbia, The United States Bureau of Prisons, The Veterans Administration, The United States Soldiers Home, and The State Department, news releases subject to HEW guidelines, under Appendix B, Departmental Regulations 45 CFR 5(b), as follows:

1. In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, or foreign, charged with the responsiblity of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto. (Item 1).

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

A record from this system of records may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the record is relevant and necessary to the requesting agency's decision on the matter. (Item 4).

3. In the event that a system of records maintained by this agency to carry out its function indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether state or local charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto. (Item 5).

4. Where federal agencies having the power to subpoena other federal agencies' records, such as the Internal Revenue Service or the Civil Rights Commission, issue a subpoena to the Department for records in this system of records, the Department will make such records available. (Item 6).

5. Where a contract between a component of the Department and a labor organization recognized under E.O. 11491 provides that the agency will disclose personal records relevant to the organization's mission, records in this system of records may be disclosed to such organization. (Item 7).

6. To the Department of Justice or other appropriate Federal agencies in defending claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Item 100).

7. To organizations deemed qualified by the Secretary to carry out quality assessment, medcial audits or utilization review. (Item 102).

8. Disclosures in the course of employee discipline or competence determination proceedings. (Item 103).

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

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

Storage: File folders, index cards, subject record book, punch cards, mag tape, charts.

Retrievability: Chronological, name, hospital case number, grade, criminal case number. System is used to facilitate the management of the daily administrative functions within the hospital. These functions include the management of the Safety Program, the Fire Department, the House-Keeping Section, the Public Information Office, the Clinical Program; administration of medical, legal and criminal investigations, accident reports, conservator files, court calendars, evaluation and program assessment of the adequacy of the therapeutic activity, employee performance, conference procedures, organization charts, patient and employee assignments, and source material for Congressional and other requests approved by the record system manager.

Safeguards: Restricted access, personnel surveillance, locked files.

Retention and disposal: Records may be retired to a Federal Records Center and subsequently disposed of in accordance with the ADAMHA Records Control Schedule. The disposal standard for these records may be obtained by writing the system manager at the address below.

System manager(s) and address:

Superintendent
Saint Elizabeths Hospital
Washington, D.C. 20032

Notification procedure: An individual may have access to his/her record upon written request, with notarized signature if request is made by mail or with suitable identification if request is made in person, directed to: Privacy Act Coordinator, Office of the Superintendent, Saint Elizabeth's Hospital, Washington, D.C. 20032. All of the following information must be provided when requesting access: (a) full name; (b) dates of the contact with Saint Elizabeths Hospital; (c) the Branch, Division, or Office with which the requestor had contact; (d) the capacity in which the requestor had contact with the hospital, e.g., patient, employee, vendor, representative of professional organization, etc; (e) the nature of the material desired.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Write the Privacy Act Coordinator, Office of the Superintendent, Saint Elizabeths Hospital, Washington, D.C. 20032. Reasonably identify the record and specify the information to be contested in accordance with Department regulations, Federal Register, October 8, 1975, page 47411 (45 C.F.R. Part 5b).

Record source categories: Patient and Employee records, HEW, ADAMHA, NIMH, and SEH forms, correspondence, Public Media, Staff Consultants, Relatives, Auditors Reports, Conservators, U.S. Postal Service, U.S. and D.C. Courts, Public Defenders Service, D.C. Mental Health Commission, other persons or outside Agencies and Organizations offering information or initiating requests, volunteers offering services, interviews, minutes of conferences, seminars and meetings.

Systems exempted from certain provisions of the act: None.

09-30-0025

System name: Maryland Psychiatric Case Register-HEW/ADAMHA/NIMH.

Security classification: None.

System location:

Division of Biometry and Epidemiology
NIMH
and
Parklawn Computer Center
5600 Fishers Lane
Rockville, Maryland 20852

Categories of individuals covered by the system: Persons who received care in psychiatric facilities in Maryland, and Maryland residents who received care in psychiatric facilities in the District of Columbia during the period July 1, 1961 - June 30, 1968.

Categories of records in the system: Information contained on admission, termination, and patient movement forms reported to Maryland Department of Mental Hygiene, including demographic, social, and psychiatric data pertaining to diagnosis, nature of problem and type of treatment. Also, death data (e.g., cause) from Baltimore and State of Maryland death certificate records. Period covered: July 1, 1961 - June 30, 1968.

Authority for maintenance of the system: Public Health Service Act Sections 301, 433(a), 455(42 U.S.C. 241, 289k, 289k-1).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Authorized representatives of agencies and organizations to process data for epidemiologic and service utilization research studies and analyses based on data contained within the register or by relating or matching of register data to information from other data systems; develop methodological techniques. Results of studies and analyses appear only in group data form. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Magnetic tapes, punch cards, computer printouts.

Retrievability: By register identification number, name. The records are currently being used to develop grouped statistical data relating to: (1) social security earnings; (2) information collected in a special 1963 population census of the residents of Washington County, Maryland; (3) information from the Baltimore public school system; and (4) information from Prince Georges and Montgomery Counties' Family Service Agencies in Maryland.

Safeguards: Only authorized research and computer staff have acces to files. For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines (e.g. security codes) will be used, limiting access to authorized personnel.

Retention and disposal: Records may be retired to a Federal Records Center and subsequently disposed of in accordance with the ADAMHA Records Control Schedule. The disposal standard for these records may be obtained by writing the system manager at the address below.

System manager(s) and address:

Chief, Applied Biometrics Research Branch
Division of Biometry and Epidemiology
National Institute of Mental Health
5600 Fishers Lane
Rockville, Maryland 20857

Notification procedure: None.

Record access procedures: None.

Contesting record procedures: None.

Record source categories: Forms submitted by psychiatric facilities to Maryland Department of Mental Hygiene, and Maryland death certificate records. Also from (1) Social Security Administration aggregate data; (2) The Johns Hopkins University (Washington County (Md.) Census Data); (3) Baltimore Public School System; and (4) Family Service Agencies of Prince Georges and Montgomery Counties (Md.).

Systems exempted from certain provisions of the act: An exemption from notification access and contest as a statistical record system under Section 3 (f)(k)(4) of the Privacy Act has been granted.

09-30-0026

System name: Saint Elizabeths Hospital Research Project Record-HEW/ADAMHA/NIMH.

Security classification: None.

System location:

Behavioral Studies Building
Saint Elizabeths Hospital
Washington, D.C. 20032
and Federal Records Center
Suitland, Maryland

Categories of individuals covered by the system: Persons who seek approval or who have obtained approval to conduct research projects at Saint Elizabeths Hospital.

Categories of records in the system: Written documents pertaining to research project proposals and/or results obtained from approved research studies, research protocols, and curriculum vitae of research applicants.

Authority for maintenance of the system: 24 U.S.C. 161, Public Health Service Act Section 301(42 U.S.C. 241).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Records are routinely disclosed for purposes of program evaluation and historical research to approved investigators by the Saint Elizabeths Hospital Research Review Board. Also under Appendix B, Departmental Regulations 45 CFR 5(b), as follows: A record from this system of records may be disclosed as a 'routine use' to a federal, state or local agency maintaining civil, criminal or other relevant enforcement records or other pertinent records, such as current licenses, if necessary to obtain a record relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit (Item 4). To the Department of Justice or other appropriate Federal agencies in defending claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual.(Item 100); Disclosures in the course of employee discipline or competence determination proceedings (Item 100). Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: File folders and filing cabinets.

Retrievability: System is filed by name of primary investigator, and date of research proposal submission, title of research project, and date of research completion. The purposes of this record are to: (1) evaluate research proposals for official approval; (2) disseminate results obtained from approved research studies; (3) program evaluation and historical research.

Safeguards: Records are kept in monitored offices and are only available to persons authorized to use records for the purposes for which they were collected.

Retention and disposal: Records may be retired to a Federal Records Center and subsequently disposed of in accordance with the ADAMHA Records Control Schedule. The disposal standard

for these records may be obtained by writing the system manager at the address below.

System manager(s) and address:

Director, Hoffman Division of Research
Saint Elizabeths Hospital
Washington, D.C.

Notification procedure: Individual may have access to his/her personal research project record upon written request with notarized signature if request is made by mail or with suitable identification if request is made in person, to Privacy Act Coordinator, Office of Director, Hoffman Division of Research, SEH, Washington, D.C. 20032. All of the following information must be provided: (a) full name; (b) dates when research project was proposed, approved or disapproved and completed; (c) staff position held in terms of staff, trainees, or outside investigator; (d) title of research project.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Write the Privacy Act Coordinator, Office of Director, Hoffman Division of Research, Saint Elizabeths Hospital, Washington, D.C. 20032. Reasonably identify the record and specify the information to be contested in accordance with Department regulations, Federal Register, October 8, 1975, page 47411 (45 C.F.R. Part 5b).

Record source categories: Information is obtained from the primary research investigator, and supervisory and administrative personnel.

Systems exempted from certain provisions of the act: None.

09-30-0027

System name: Grants: Research, Research Training, Fellowships, Clinical Training, Community Services - HEW/ADANHA/OA.

Security classification: None.

System location:

National Institute on Drug Abuse
Grants Management Branch
Room 849, Rockwall Building
11400 Rockville Pike
Rockville, Maryland 20852

National Institute on Alcohol Abuse and Alcoholism
Grants Management Branch
Room 14C-04, Parklawn Building
5600 Fishers Lane
Rockville, Maryland 20857

National Institute of Mental Health
Grants and Contracts Management Branch, OPS
Room 7C-02, Parklawn Building
Rockville, Maryland 20857

Categories of individuals covered by the system: Principal investigators, project directors, trainees, fellows, Research Scientist Development awardees, and other employees of applicant or grantee institutions.

Categories of records in the system: Grant applications and review history, including curriculum vitae, salary information, summary of review committee deliberations, progress reports, financial records, National Research Services Act awardee payback records and related documents.

Authority for maintenance of the system: NIDA: Public Health Service Act Section 301(42 U.S.C. 241); Section 251 (42 U.S.C. 2688k) Community Mental Health Centers Act Section 410 (21 U.S.C. 1177); and the Drug Abuse Office and Treatment Act of 1972. NIAAA: Public Health Service Act Section 301 (42 U.S.C. 241); Comprehensive Alcohol Abuse and Alcoholism Treatment and Rehabilitation Act of 1970 Sections 101, 311 (42 U.S.C. 4551, 4577). NIMH: Public Health Service Act Section 301, 303(a), 433(a), 455, and 472(a)(1)(A), (42 U.S.C. 241, 242a 289c, 289k-1, and 289l-1).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Records contained in the Official Grant File may be released:

1. to the Smithsonian Science Information Exchange for dissemination of science information.
2. to qualified experts for opinion during the review process.
3. to individuals and organizations deemed qualified by the Secretary to carry out specific research solely for the purpose of carrying out such research.
4. to organizations deemed qualified by the Secretary to carry out quality assessment, medical audits, or utilization review.
5. to the Cognizant Audit Agency and the General Accounting Office for auditing.
6. to the Department of Justice or other law enforcement agencies as required for litigation.
7. to either House of Congress, or to the extent of matter within its jurisdiction, to any committee or subcommittee.
8. to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the record is relevant and necessary to the requesting agency's decision on the matter.

9. Where federal agencies having the power to subpoena other federal agencies' records, such as the Internal Revenue Service or the Civil Rights Commission, issue a subpoena to the Department for records in this system of records, the Department will make such records available. (Appendix B, Departmental Regulations, 45 CFR 5(b), Item 6).

10. Where the appropriate official of the Department, pursuant to the Department's Freedom of Information Regulation determines that it is in the public interest to disclose a record which is otherwise exempt from mandatory disclosure, disclosure may be made from this system of records. (Appendix B, Departmental Regulations, 45 CFR 5(b), Item 8).

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

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

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

Storage: Documents filed in folders in enclosed file cabinets. Information on 3 x 5 cards in file cabinets.

Retrievability: By grant numbers and cross-indexed by name. Used by staff program and management specialists for purpose of awarding and monitoring grant funds. Information is also used to maintain communication with former trainees/fellows who have incurred an obligation through the National Research Award Program.

Safeguards: Only authorized personnel have access to the files and the files themselves may not leave the premises. For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines (e.g. security codes) will be used, limiting access to authorized personnel.

Retention and disposal: Records may be retired to a Federal Records Center and subsequently disposed of in accordance with the ADAMHA Records Control Schedule. The disposal standard for these records may be obtained by writing the system manager at the address below.

System manager(s) and address:

National Institute on Drug Abuse
Chief, Grants Management Branch, OPS
Room 854, Rockwall Building
11400 Rockville Pike
Rockville, Md. 20852

National Institute on Alcohol Abuse and Alcoholism
Chief, Grants Management Branch
Room 16-86, Parklawn Building
5600 Fishers Lane
Rockville, Md. 20857

National Institute of Mental Health
Chief, Grants and Contracts Management Branch
Room 7C-02, Parklawn Building
5600 Fishers Lane
Rockville, Md. 20857

Notification procedure: Write to the system manager at the applicable address above.

Record access procedures: Same as above. Requesters should also reasonably specify the record contents being sought, and should provide the official grant or fellowship number when possible.

Contesting record procedures: Same as above.

Record source categories: Applicants, grantees, fellows, trainees, personnel at grantee institution on whom the record is maintained, Federal advisory committees, site visitors, consultants, references.

Systems exempted from certain provisions of the act: None.

09-30-0028

System name: Saint Elizabeths Hospital General Medical/Clinical Records System and Related Indexes--HEW/ADAMHA/NIMH.

Security classification: None.

System location: This is a widely decentralized system of records. The medical/clinical records of active patients on the rolls of the Hospital, which were written after July 1, 1973, are located in the specific division where an individual patient is residing or, in the case of outpatients, at the location of the specific outpatient clinic where they receive treatment. The medical/clinicalrecords of active patients who were admitted to Saint Elizabeths Hospital prior to July 1, 1973, and which were written prior to that date, are located in A Building, Room 121 and in the basement of that building, with duplicate copies of those records located in the clinical division where the patient resided or was served as an outpatient. The medical/clinical records of discharged or deceased patients are located in A Building, Room 121 and the basement of that building, and inactive records older than four years are stored in the Federal Records Center in Suitland, Maryland. In addition to the medical/clinical records themselves, SEH maintains numerous card files which contain limited information relating to identification of past and present patients taken from the medical/clinical record and used for management and monitoring purposes. These card files are located throughout the Hospital. Records are located at Saint Elizabeths Hospital, Washington, D.C. 20032, and Federal Records Center, Suitland, Maryland.

Categories of individuals covered by the system: All past and present patients of Saint Elizabeths Hospital.

Categories of records in the system: Inpatient and outpatient psychiatric medical/clinical records. The medical/clinical record contains identifying data (name, date and place of birth, age, sex, race, marital status, legal category, social security number, leave and residential status, admission and discharge dates, identification of relatives and Hospital identification number) and medical/clinical information (physician's admission note, results of physical examinations, descriptions of patient's present and past physical and mental health, diagnosis, prognosis, consultant's opinions, social history, treatment plan, results of diagnostic tests and procedures, notes of patient's response to treatment, progress notes, nurses notes, incident reports, and reports or notes of others who contributed to a patient's treatment and/or social work efforts, and correspondence with Saint Elizabeths Hospital concerning such a patient.

Authority for maintenance of the system: 24 USC 161, et seq.; 21 DC Code 562.

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

1. To facilitate treatment of patient when admitted to other facilities; to send records to new physicians.

2. To personnel who are not employees of the hospital for accreditation or licensure of the hospital.

3. Of impersonal documents (i.e. with personal identifiers removed) to facilitate teaching programs and scientific research, to further knowledge in the area of diagnosis and treatment.

4. Of reports to a referring source such as a physician or a court; to give out to authorized parties, who have legitimate interests in the patient, who are not an employeed by or connected with Saint Elizabeths Hospital.

5. To help satisfy a patient's medicolegal needs.

6. To be disclosed to Professional Standards Review Organizations for health care evaluation.

7. To the Department of Justice or other appropriate Federal agencies in defending claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Departmental Regulations, 45 CFR 5(b), Item 100).
8. To individuals and organizations, deemed qualified by the Secretary to carry out specific research solely for the purpose of carrying out such research. (Appendix B, Departmental Regulations, 45 CFR 5(b), Item 101).
9. To organizations deemed qualified by the Secretary to carry out quality assessment, medcial audits or utilization review. (Appendix B, Departmental Regulations, 45 CFR 5(b), Item 102).
10. Disclosures in the course of employee discipline or competence determination proceedings. (Appendix B, Departmental Regulations, 45 CFR 5(b), Item 103).
11. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
12. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage:

1. At Division level (Active Patients) - File folders with general medical record and correspondence file are kept in metal file cabinets. Index cards, monitoring cards, kardex and addressograph plates are kept in their appropriate containers.

2. At Administration level (Discharged and Deceased Patients) - Clinical and correspondence records are filed in separate coded folders with unit numbering system. Patients index - 3x5 card file of all patients hospitalized or treated at SEH in a Kardveyer; Diagnostic Indexes - a 5x7 separate index card file stored in a Visu-Triver.

Retrievability:

Data to be retrieved by patient's name and hospital number.

Purposes of the system are:

1. To document a patient's illness, chief complaint, history, physical examination, diagnostic test and procedure reports, to plan treatment either as an inpatient or an outpatient.

2. To promote continuity of care for follow-up of treatment; for reference upon future treatment and care.

3. To provide basis for reports mandatory under Federal and local laws.

4. In some instances, to provide as a basis for action in the course of employee discipline or competence determination proceedings.

5. To transact hospital business in filing insurance claims, verification of patient's competency, disability, or retirement benefits, verification of leave status and residence.

6. To serve as a basis for hospital administrative planning and evaluation of its programs.

7. To serve as impersonal documents for the hospital staff continuing education and studies.

8. To be used by hospital staff for assessment of the quality of treatment, for medical audit and utilization review.

9. To be used for the legal defense of the hospital and its staff in cases where a claim is based on patient's mental or physical conditions and arising from the patient's treatment at Saint Elizabeths Hospital.

10. To be used for statistical reports, monthly analysis of clinical division services, monthly, quarterly, annual reports.

11. To serve as a basis for reports to accrediting agencies, Joint Commission on Accreditation of Hospitals, American Hospital Association, American Psychiatric Association, Medicare Licensure, etc.

12. Indexes based on the medical/clinical record are routinely used for: (a) speedy identification and location of specific patients; (b) monitoring the completeness of patient records, particularly those discharged or deceased; (c) to monitor the changing status of patients either in terms of transfers within the Hospital or outside the Hospital; (d) easy identification of basic demographic data used for statistical and/or research purposes; and, (e) quick review of current treatment regimen in some cases.

Safeguards:

1. Available only to properly trained and screened personnel.

2. Access limited to authorized individuals only. Enforced by Security personnel. Room are locked when unoccupied.

Retention and disposal: Records may be retired to a Federal Records Center and subsequently disposed of in accordance with the ADAMHA Records Control Schedule. The disposal standard for these records may be obtained by writing the system manager at the address below.

System manager(s) and address:

I. Primary (Administration)

Superintendent
Room 105, Administration Building
Saint Elizabeths Hospital
Washington, D.C. 20032

Chief, Medical Records Librarian
Administration Building
Saint Elizabeths Hospital
Washington, D.C. 20032

II. Secondary (Division Level)

Director
Area D Community Mental Health Center
Dix Building

Director
Noyes Division
Noyes 7

Director
Forensic Division
John Howard Pavilion

Director
Godding Division
Godding 6

Director
Haydon Division
Geriatric Building

Director
Nichols Division
Nichols Building

Director
Mental Health Program for the Deaf
L Building

Director
Medicine and Surgery Branch
W W Eldridge Bldg.

Director
O'Malley Division
Q Building

Director
Richardson Division
P Building

Clinical Director
William A. White Division
William A. White Building

Notification procedure: A patient or former patient may have access to his/her record upon written request, with notarized signature if request is made by mail or with suitable proof of identity if request is made in person, directed to, as appropriate:

Active Patients:
Privacy Act Coordinator
Office of the Director (Division where person receives treatment; see list under 'System Manager')
Saint Elizabeths Hospital
Washington, D.C. 20032

Discharged Patients:
Privacy Act Coordinator
Office of Medical Records Branch
A Building
Saint Elizabeths Hospital
Washington, D.C. 20032

All of the following information must be provided when requesting access: (a) full name; (b) for discharged patients, approximate dates of enrollment at Saint Elizabeths Hospital; (c) if possible, the patient's hospital number; (d) the nature of the material desired.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Same as Notification. Reasonably identify the record and specify the information to be contested in accordance with Department regulations, Federal Register, October 8, 1975, page 47411 (45 CFR Part 5.b.7).

Record source categories: Medical records are a compilation of sociological, medical, clinical and historical data of a patient. They are a complete report of an illness resulting in an accumulation of a large amount of information about a patient. The information recorded was given by the patient, his/her relatives, or other third persons interested in the patient, from existing records used as reference, from clinical tests (different departments such as lab, X-ray, EEG, etc.), physicians, psychiatrists, nurses, social workers, other therapists who entered their observations and assessments by means of progress notes, reports, etc.

Systems exempted from certain provisions of the act: None.

09-30-0029

System name: Record of Guest Workers - HEW/ADAMHA/OA.

Security classification: None.

System location:

Alcohol, Drug Abuse, and Mental Health Administration
Division of Personnel Management
5600 Fishers Lane
Rockville, Md. 20857

Categories of individuals covered by the system: Individuals using ADAMHA facilities who are not employees.

Categories of records in the system: Personal inforamtion including name, address, date and place of birth, education, employment, purpose for which ADAMHA facilities are desired, outside sponsor and ADAMHA sponsor.

Authority for maintenance of the system: 42 USC 241.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to the Civil Service Commission for program evaluation purposes and to institutions providing support for subject individual. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Stored in file folders.

Retrievability: Retrieved by name. Records are used to document individual's presence at ADAMHA and as a record that the individual is not performing services for ADAMHA and is therefore not an employee.

Safeguards: Locked file accessible only to authorized individuals.

Retention and disposal: Retained for three years after completion of sojourn, then destroyed.

System manager(s) and address:

Director
Division of Personnel Management, ADAMHA
5600 Fishers Lane
Rockville, Md 20857

Notification procedure: Write to the system manager at the above address.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Subject individual and ADAMHA sponsor.

Systems exempted from certain provisions of the act: None.

09-30-0030

System name: Record of Visiting Fellows - HEW/ADAMHA/OA.

Security classification: None.

System location:

Alcohol, Drug Abuse, and Mental Health Administration
Division of Personnel Management
5600 Fishers Lane, Parklawn Building
Rockville, Md. 20857

Categories of individuals covered by the system: Individuals undergoing training - not employees.

Categories of records in the system: Personal information including name, address, date and place of birth, education, qualifications for training.

Authority for maintenance of the system: 42 USC 241 and 42 U.S.C. 4821-1.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to the Civil Service Commission for program evaluation purposes and to the General Accounting Office for fund disbursement determinations. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Stored in file folders.

Retrievability: Retrieved by name. Records are used to refer candidates to selecting officials and to locate Fellow after placement.

Safeguards: Kept in locked file accessible only to authorized individuals.

Retention and disposal: Retained for three years after completion of fellowship, then destroyed.

System manager(s) and address:

Director
Division of Personnel Management, ADAMHA
5600 Fishers Lane
Rockville, Md. 20857

Notification procedure: Write to the system manager at the above address.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Fellowship applicant.

Systems exempted from certain provisions of the act: None.

09-30-0031

System name: St. Elizabeths Hospital Biometrics System - DHEW/ADAMHA/NIMH

Security classification: None.

System location:

Biometrics Branch
St. Elizabeths Hospital
Administration Building
Washington, D.C. 20032

Categories of individuals covered by the system: Former & Current Patients.

Categories of records in the system: Patient name, hospital number, demographic and individual characteristics, tracking or patient movement and billing information.

Authority for maintenance of the system: 24 USC 161, et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information is disclosed to D.C. Mental Health Areas for continuity of care, after care and community follow-up. Data is provided to researchers when approved by the Superintendent and the legal office. Data is also provided to volunteers involved in the treatment process of the Hospital. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: St. Elizabeths Hospital Forms, File Folders, punch cards and magnetic tape.

Retrievability: Hospital case number, name, pre-determined codes. Some subsystems kept in chronological order. This record is used for distribution of publications. Patient billing. To generate special and recurring reports for Administrators, Health Professionals, Managers, and Researchers for program management, Planning, Analysis, Evaluation and Research.

Safeguards: Employee training, restricted access, locked at night.

Retention and disposal: Records may be retired to a Federal Records Center and subsequently disposed of in accordance with the ADAMHA Records Control Schedule. The disposal standard for these records may be obtained by writing the system manager at the address below.

System manager(s) and address:

Director, Biometrics Branch
St. Elizabeths Hospital
Wash., D.C. 20032

Notification procedure: A patient or former patient may have access to his/her record upon written request, with notarized signature, directed to:

Privacy Act Coordinator
Biometrics Branch
Saint Elizabeths Hospital
Washington, D.C. 20032

All of the following information must be provided:

(a)Full name;
(b)Approximate dates of enrollment at Saint Elizabeths Hospital;
(c)The nature of the material desired.

Record access procedures: Same as notification. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Same as notification. Reasonably identify the record and specify the information to be contested in accordance with Department regulations, Federal Register, October 8, 1975, page 47411 (45 CFR Part 5b.7).

Record source categories: Saint Elizabeths Hospital forms prepared by staff.

Systems exempted from certain provisions of the act: None.

09-30-0032

System name: Records of Research on Alcohol Abusers and Addicts. HEW/ADAMHA/NIAAA.

Security classification: None.

System location:

Laboratory of Basic Alcohol Sciences, Division of Extramural Research
National Institute on Alcohol Abuse and Alcoholism
Rm. 493, Wm. A. White Building
Saint Elizabeths Hospital
Washington, D.C. 20032

Categories of individuals covered by the system: Alcohol abusers and addicts.

Categories of records in the system: Case studies, medical records of individuals involved in studies between 1969 and 1973 in the Intramural Research Laboratory pertaining to alcohol abuse and alcoholism; medical, non-medical, test and laboratory data, observation data, data from interviews, data from previous records, data from epidemiological, biochemical, and behavioral areas, and other data from investigations in medical and related sciences. This includes material contained on video tapes.

Authority for maintenance of the system: Public Health Service Act, Sections 301,303 (42 U.S.C. 241, 242(a), 4551).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To individuals and organizations, deemed qualified by the Secretary to carry out specific research solely for the purpose of carrying out such research. (Appendix B, Departmental Regulations, 45 CFR 5(b), Item 101). Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Documents filed in metal file cabinets and in cardboard boxes.

Retrievability: By case study number and/or by patient's last name.

Safeguards: Only authorized personnel have access to the files and the files themselves may not leave the premises.

Retention and disposal: Records may be retired to a Federal Records Center and subsequently disposed of in accordance with the ADAMHA Records Control Schedule. The disposal standard for these records may be obtained by writing the system manager at the address below.

System manager(s) and address:

Director, Laboratory of Basic Alcohol Sciences, Division of Extramural Research
National Institute on Alcohol Abuse and Alcoholism
Rm. 493, Wm. A. White Building
Saint Elizabeths Hospital
Washington, D.C. 20032

Notification procedure: An individual may have access to his/her record upon written request, with notarized signature, addressed to the System Manager identified above. An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.). A parent or guardian who requests notification of or access to a minor's record shall at the time the request is made designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The designate will receive the record in all cases and upon review will determine whether the record should be made available to the parent or guardian.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Directly from the individual and from observation during research studies.

Systems exempted from certain provisions of the act: None.

09-30-0033

System name: Correspondence Files - HEW/ADAMHA/OA

Security classification: None.

System location:

ADAMHA Executive Secretariat
Room 12-C-04, Parklawn Building
5600 Fishers Lane
Rockville, Md. 20857

Executive Secretariat, National Institute on Drug Abuse
Room 844, Rockwall Building

11400 Rockville Pike
Rockville, Md. 20852

Executive Secretariat, National Institute of Alcohol Abuse and Alcoholism
Room 16-C-02, Parklawn Building
5600 Fishers Lane
Rockville, Md. 20857

Executive Secretariat, National Institute of Mental Health
Room 17-C-25, Parklawn Building
5600 Fishers Lane
Rockville, Md. 20857

Categories of individuals covered by the system: Individuals who request information on ADAMHA programs.

Categories of records in the system: Correspondence.

Authority for maintenance of the system: 21 U.S.C. 1191; 42 U.S.C. Sections 289k-1, 3511, 4551

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Maintained in standard file folders, enclosed in steel file standing cabinets.

Retrievability: Retrieved alphabetically by name. Used by Institute staff for reference purposes, and to assure correction of problems and follow-up.

Safeguards: Maintained in steel cabinets and accessed only by Executive Secretariat personnel.

Retention and disposal: Retained for two years (current year and preceding one), then destroyed.

System manager(s) and address: Same as location.

Notification procedure: Same as location. Write to the system manager at the above address and give name and approximate date of data requested.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Records are derived from incoming and outgoing correspondence.

Systems exempted from certain provisions of the act: None. /*

09-20-0000

System name: Cooperative Mycoses Study - HEW/CDC/OCD.

Security classification: None.

System location:

Federal Records Center
East Point, Georgia

Categories of individuals covered by the system: Histoplasmosis, blastomycosis, coccidioidomycosis, aspergillosis, and other miscellaneous fungal infected patients who participated in the cooperative mycoses study conducted between 1947 and 1973 at the former CDC Kansas City Field Station, Ecological Investigations Division, Kansas City, Kansas

Categories of records in the system: Medical records and related papers.

Authority for maintenance of the system: Public Health Service Act, Section 301 (42 U.S.C. 241).

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

Ohio State University Hospital
Tuberculosis Service
Columbus, Ohio

San Antonio State Chest Hospital
San Antonio, Texas

East Texas Chest Hospital
Tyler, Texas

Missouri State Chest Hospital
Mt. Vernon, Missouri

Mt. Vernon State Tuberculosis Sanitorium
Mt. Vernon, Illinois

Bureau of Health Services
Department of Human Resources
Frankfort, Kentucky Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual. Disclosure may be made to the Department of Justice or other appropriate Federal agencies in defending claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Departmental Regulations (45 CFR, part 5b) Appendix B, Item 100.) In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: File folders and Approved FRC boxes.

Retrievability: The purpose of the study was evaluation of the treatment of systemic fungal diseases by the U. S. Public Health Service and clinicians in selected hospitals and sanitoriums. Records retrieved by name.

Safeguards: Electronic Anti-Intrusion Devices.

Retention and disposal: Schedule for disposal pending.

System manager(s) and address:

Assistant Director for Program
CDC
Bldg. 1, Room 224
Atlanta, Ga. 30333

Notification procedure: To determine if a file exists, write the Assistant Director for Program, Building 1, Room 224, Center for Disease Control, Atlanta, Georgia 30333, and provide the following information: (1) approximate date(s) and place of treatment or questionnaire administration, (2) name of study, if known; (3) an individual who requests notification of or access to a medical record shall, at the time the request is made, designate a responsible representative in writing who will be willing to review the record and inform the subject individual of its contents at the representative's discretion (these notification and access procedures are requirements of the Department Regulations, 45 CFR, Part 4.6, Federal Register, October 8, 1975, page 47411). A parent or guardian who requests notification of or access to a minor's record shall at the time the request is made designate a family physician or

other health professional (other than a family member) to whom the record, if any, will be sent. The designee will receive the record in all cases and upon review will determine whether the record should be made available to the parent or guardian.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Part 5b.5(a)(2) Federal Register, October 8, 1975, page 47410).

Contesting record procedures: Write the Privacy Act Coordinator, Management Analysis Office, Center for Disease Control, Atlanta, Georgia 30333. Reasonably identify the record and specify the information to be contested in accordance with Department Regulations, Federal Register, October 8, 1975, page 47411 (45 CFR, Part 5.b.7).

Record source categories: Participating hospitals and sanitoriums listed above.

Systems exempted from certain provisions of the act: None.

09-20-0001

System name: Certified Interpreting Physician File -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Respiratory Disease Studies, NIOSH
944 Chestnut Ridge Road
Morgantown, West Virginia 26505

Categories of individuals covered by the system: Physicians who have been certified to interpret x-rays under the Federal Coal Mine Health and Safety Act of 1969.

Categories of records in the system: Physician's qualifications.

Authority for maintenance of the system: Coal Mine Health and Safety Act Section 203(30 U.S.C. 843).

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

1. Name and address supplied to coal operators and x-ray facilities so that they may contact physician to do work for them.
2. Name, address and social security number supplied to Department of Labor to be used in approving Title IV Benefits under the Act. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Computer printouts, microfilm, computer tape, computer disk.

Retrievability: The main purpose is to provide certified physicians to read x-rays. Data is provided to the Social Security Administration to be used in approving Title IV Benefits under the Act. Name or social security number is the index used to retrieve records. Social security numbers which are supplied on a voluntary basis are used for retrieval.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked computer room and computer tape vaults
Locked file cabinets
Computer tapes are password protected For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Records are retained indefinitely unless disposal of a record is requested by the individual physician. Disposal methods include erasing computer tapes and burning or shredding printouts.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual.

Systems exempted from certain provisions of the act: None.

09-20-0002

System name: Study of workers exposed to talc -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Surveillance, Hazard Evaluations, and Field Studies, NIOSH
5555 Ridge Avenue
Cincinnati, Ohio 45213

Southwest Ohio Regional Computer Center
Medical Sciences Building
University of Cincinnati
Cincinnati, Ohio 45202

Categories of individuals covered by the system: Talc-exposed workers from several locations.

Categories of records in the system: Occupational histories, demographic data.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20(29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United

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

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

Storage: Computer tape, microfilm, microfiche, computer listings, manual files.

Retrievability: The purpose of this system is to determine the cause and prevention of occupationally-related diseases. Name is the index used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked computer room and computer tape vaults
Locked file cabinets
Computer tapes are password protected For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding printouts.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained from employer records. Vital status information is obtained from Federal, State and Local governments and other available sources.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0003

System name: Study of Workers Exposed to Bladder Carcinogens -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Surveillance, Hazard Evaluations, and Field Studies, NIOSH
5555 Ridge Avenue
Cincinnati, Ohio 45213

Southwest Ohio Regional Computer Center
Medical Sciences Building
University of Cincinnati
Cincinnati, Ohio 45202

Categories of individuals covered by the system: Dichlorobenzidine Exposed Workers.

Categories of records in the system: Demographic Data, Physical Exam, Medical Questionnaires, Urine Tests, and Occupational History.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20(29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Computer Tape, Microfilm, Microfiche, manual files.

Retrievability: The purpose of this system is to determine the cause and prevention of occupationally-related diseases. Name and Assigned Number are indexes used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked computer room and computer tape vaults
Locked file cabinets
Computer tapes are password protected For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards

guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding printouts.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Vital status information is obtained from Federal, State and Local governments and other available sources. Information is obtained from the individual and employer records.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0004

System name: Beta-Napthylamine workers study -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Surveillance, Hazard Evaluations, and Field Studies, NIOSH
5555 Ridge Avenue
Cincinnati, Ohio 35213

Southwest Ohio Regional Computer Center
Medical Sciences Building
University of Cincinnati
Cincinnati, Ohio 45202

Categories of individuals covered by the system: Selected plants having workers using beta-napthylamine.

Categories of records in the system: Occupational history and demographic data.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20(29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Computer tape, microfilm, microfiche, computer printouts, manual files.

Retrievability: The purpose of this system is to determine the cause and prevention of occupationally-related diseases. Name is the index used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked computer room and computer tape vaults
Locked file cabinets
Computer tapes are password protected For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding printouts.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained from employer records. Vital status information is obtained from Federal, State and Local governments and other available sources.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0005

System name: Study of Columbus Coated Fabrics workers -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Surveillance, Hazard Evaluations, and Field Studies, NIOSH
5555 Ridge Avenue
Cincinnati, Ohio 45213

Southwest Ohio Regional Computer Center
Medical Sciences Building
University of Cincinnati
Cincinnati, Ohio 45202

Categories of individuals covered by the system: Employees of Columbus Coated Fabrics, Columbus, Ohio.

Categories of records in the system: Medical questionnaire, demographic data.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20(29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Computer tape, microfilm, microfiche, computer printouts, manual files.

Retrievability: The purpose of this system is to determine the cause and prevention of occupationally-related diseases. Name is the index used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building: locked rooms
Personnel screening
Locked computer room and computer tape vaults
Locked file cabinets
Computer tapes are password protected For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding printouts.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Vital status information is obtained from Federal, State and Local governments and other available sources. Other information is obtained from the individual and from employer records.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:

Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0006

System name: Study of phosphate fertilizer industry -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Surveillance, Hazard Evaluations, and Field Studies, NIOSH
5555 Ridge Avenue
Cincinnati, Ohio 45213

Southwest Ohio Regional Computer Center
Medical Sciences Building
University of Cincinnati
Cincinnati, Ohio 45202

Categories of individuals covered by the system: Phosphate fertilizer workers.

Categories of records in the system: Occupational histories, demographic data.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20(29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Computer tape, computer printout, microfilm, microfiche, manual files.

Retrievability: The purpose of this system is to determine the cause and prevention of occupationally-related diseases. Name is the index used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building, locked rooms
Personnel screening
Locked computer room and computer tape vaults
Locked file cabinets
Computer tapes are password protected For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding printouts.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained from employer records. Vital status information is obtained from Federal, State and Local governments and other available sources.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0007

System name: Study of Union Carbide, Charleston, W.Va. Plant -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Surveillance, Hazard Evaluations, and Field Studies, NIOSH
5555 Ridge Avenue
Cincinnati, Ohio 45213

Southwest Ohio Regional Computer Center
Medical Sciences Building
University of Cincinnati

Cincinnati, Ohio 45202

Categories of individuals covered by the system: A limited number of plant employees.

Categories of records in the system: Personnel records.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20(29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Computer tape, microfilm, microfiche, manual files.

Retrievability: The purpose of this system is to determine the cause and prevention of occupationally-related diseases. Name is the index used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked computer room and computer tape vaults
Locked file cabinets
Computer tapes are password protected For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding printouts.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained from employer records. Vital status information is obtained from Federal, State and Local governments and other available sources.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0008

System name: Coal miner workers' study -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Cincinnati, Ohio 45213

Southwest Ohio Regional Computer Center
Medical Sciences Building
University of Cincinnati
Cincinnati, Ohio 45202

Categories of individuals covered by the system: Coal miners from selected coal mines.

Categories of records in the system: Occupational and demographic histories, X-rays, pulmonary function data, medical questionnaires.

Authority for maintenance of the system: Federal Coal Mine Health and Safety Act Section 501(30 U.S.C. 951).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if success-

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

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

Storage: Computer tape, computer printout, microfilm.

Retrievability: The purpose of this system is to assess the cause and prevention of disease(s) of coal mining origin. Assigned number is the index used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked computer room and computer tape vaults
Locked file cabinets
Computer tapes are password protected For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding printouts.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Vital status information is obtained from Federal, State and Local governments and other available sources. Information is obtained from the individual and from employer records.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0009

System name: Study of workers exposed to methyl butyl ketone -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Surveillance, Hazard Evaluations, and Field Studies, NIOSH
5555 Ridge Avenue
Cincinnati, Ohio 45213

Southwest Ohio Regional Computer Center
Medical Sciences Building
University of Cincinnati
Cincinnati, Ohio 45202

Categories of individuals covered by the system: Workers exposed to methyl butyl ketone from selected plants.

Categories of records in the system: Medical questionnaire, demographic data, physical exam forms.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20(29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manual files.

Retrievability: The purpose of this system is to determine the cause and prevention of occupationally-related diseases. Name is the index used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked file cabinets

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding printouts.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Vital status information is obtained from Federal, State and Local governments and other available sources. Information is obtained from the individual and employer records.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0010

System name: Study of Mineral Wool Workers -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Surveillance, Hazard Evaluations, and Field Studies, NIOSH
5555 Ridge Avenue
Cincinnati, Ohio 45213

Southwest Ohio Regional Computer Center
Medical Sciences Building
University of Cincinnati
Cincinnati, Ohio 45202

Categories of individuals covered by the system: Mineral Wool Workers from several plants.

Categories of records in the system: Occupational histories, demographic data.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20 (29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Computer tape, microfilm, microfiche, computer printouts, manual files.

Retrievability: The purpose of this system is to assess cause and prevention of disease of industrial origin. Name is the index used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked computer room and computer tape vaults
Locked file cabinets
Computer tapes are password protected For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding printouts.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably

identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained from employer records. Vital status information is obtained from Federal, State and Local governments and other available sources.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0011

System name: Study of Metal Mine Workers -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Surveillance, Hazard Evaluations, and Field Studies, NIOSH
5555 Ridge Avenue
Cincinnati, Ohio 45213

Southwest Ohio Regional Computer Center
Medical Sciences Building
University of Cincinnati
Cincinnati, Ohio 45202

Categories of individuals covered by the system: Mine Workers from Several Mines.

Categories of records in the system: Demographic Data, Occupational Histories, X-rays, Medical Histories.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20(29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Computer Tape, Computer Printouts, Microfiche, Manual Files.

Retrievability: The purpose of this system is the assessment of cause and prevention of disease of industrial origin. Name, Number, Mine Number are indexes used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked computer room and computer tape vaults
Locked file cabinets
Computer tapes are password protected For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding printouts.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Vital status information is obtained from Federal, State and Local governments and other available sources. Information is obtained from the individual and from employer records.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,

Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0012

System name: Study of Colloids, Inc. Workers -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Surveillance, Hazard Evaluations, and Field Studies, NIOSH
5555 Ridge Avenue
Cincinnati, Ohio 45213
Southwest Ohio Regional Computer Center
Medical Sciences Building
University of Cincinnati
Cincinnati, Ohio 45202

Categories of individuals covered by the system: Colloids, Inc. Workers.

Categories of records in the system: Occupational Histories, Demographic Data.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20(29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Computer Tape, Computer Printouts, Microfiche, Manual File.

Retrievability: The purpose of this system is to determine the cause and prevention of diseases of industrial origin. Name is the index used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked computer room and computer tape vaults
Locked file cabinets
Computer tapes are password protected For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding printouts.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained from employer records. Vital status information is obtained from Federal, State and Local governments and other available sources.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0013

System name: Gold Mine (Home Stake) Silicosis Study -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Surveillance, Hazard Evaluations, and Field Studies, NIOSH
5555 Ridge Avenue
Cincinnati, Ohio 45213

Categories of individuals covered by the system: Workers in Home Stakes Mines.

Categories of records in the system: X-Ray, Sputum Cytology, Pulmonary Function Studies, Questionnaires.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20(29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manual Files.

Retrievability: The purpose of this system is to determine the cause and prevention of disease of industrial origin. Name is the index used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked file cabinets

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include burning or shredding printouts.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Vital status information is obtained from Federal, State and Local governments and other available sources. Information is obtained from the individual and from employer records.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0014

System name: Respirable Insulation Fibers Study -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Surveillance, Hazard Evaluations, and Field Studies, NIOSH
5555 Ridge Avenue
Cincinnati, Ohio 45213

Categories of individuals covered by the system: Workers Exposed to Respirable Fibers.

Categories of records in the system: X-ray, Sputum Cytology, Pulmonary Function Studies and Questionnaires.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20(29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of

Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manual Files.

Retrievability: The purpose of this system is the assessment of cause and prevention of disease of industrial origin. Name is the index used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked file cabinets

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include burning or shredding printouts.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Vital status information is obtained from Federal, State and Local governments and other available sources. Information is obtained from the individual and from employer records.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0015

System name: Bakers (White Lung) Study -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Surveillance, Hazard Evaluations, and Field Studies, NIOSH
5555 Ridge Avenue
Cincinnati, Ohio 45213

Categories of individuals covered by the system: Bakery Employees from Selected Manufacturing Companies.

Categories of records in the system: X-ray, Sputum Cytology, Pulmonary Function Studies and Questionnaires.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20(29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manual File.

Retrievability: The purpose of this system is the assessment of cause and prevention of disease of industrial origin. Name is the index used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked file cabinets

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include burning or shredding printouts.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05

Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Vital status information is obtained from Federal, State and Local governments and other available sources. Information is obtained from the individual and from employer records.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0016

System name: Study of Bakers and Confection Workers, and Other Associated Industries -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Surveillance, Hazard Evaluations, and Field Studies, NIOSH
5555 Ridge Avenue
Cincinnati, Ohio 45213

Southwest Ohio Regional Computer Center
Medical Sciences Building
University of Cincinnati
Cincinnati, Ohio 45202

Categories of individuals covered by the system: Bakers and Confection and Grain Workers.

Categories of records in the system: Medical Disability Forms.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20(29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Computer Tape, Microfilm, Computer Printouts, Manual Files.

Retrievability: The purpose of this system is to determine the cause and prevention of disease of industrial origin. Name is the index used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked computer room and computer tape vaults
Locked file cabinets
Computer tapes are password protected For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding printouts.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations

(45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Vital status information is obtained from Federal, State and Local governments and other available sources. Information is obtained from the individual and from employer records.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0017

System name: Silicosis (Brick Layers) Study - North Carolina -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Surveillance, Hazard Evaluations, and Field Studies, NIOSH
5555 Ridge Avenue
Cincinnati, Ohio 45213

Categories of individuals covered by the system: Brick Layers Exposed to Dust.

Categories of records in the system: Sputum Cytology, Pulmonary Function, X-ray, and Questionnaires.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20(29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manual Files.

Retrievability: The purpose of this system is the assessment of cause and prevention of disease of industrial origin. Name and Case Number are the indexes used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked file cabinets

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include burning or shredding printouts.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Vital status information is obtained from Federal, State and Local governments and other available sources. Information is obtained from the individual and from employer records.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts

Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0018

System name: Control Study Group from the University of Utah for the Cosmetology Study -- HEW/CDC/NIOSH.

System location:

Division of Surveillance, Hazard Evaluations, and Field Studies, NIOSH
5555 Ridge Avenue
Cincinnati, Ohio 45213

Security classification: None.

Categories of individuals covered by the system: Individuals from the University of Utah being used as a sample from the general population.

Categories of records in the system: Questionnaires, X-ray, Sputum Cytology, and Pulmonary Function.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20(29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: File Drawer and Computer Tape.

Retrievability: The purpose of this system is the cause and prevention of disease of occupational origin. Name is the index used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked file cabinets For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding printouts.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Vital status information is obtained from Federal, State and Local governments and other available sources. Information is obtained from the individual and from employer records.

Systems exempted from certain provisions of the act: None.

09-20-0019

System name: Study of Selected Environmental Protection Agency Employees in Cincinnati for Respiratory Disease -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Surveillance, Hazard Evaluations, and Field Studies, NIOSH
5555 Ridge Avenue
Cincinnati, Ohio 45213

Southwest Ohio Regional Computer Center
Medical Sciences Building
University of Cincinnati
Cincinnati, Ohio 45202

Categories of individuals covered by the system: Individuals working for the Environmental Protection Agency.

Categories of records in the system: Medical Questionnaires, X-ray, Sputum Cytology, and Pulmonary Function.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20(29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manual Files and Computer Tape.

Retrievability: The purpose of this system is the cause and prevention of disease of industrial origin. Name is the index used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked computer room and computer tape vaults

Locked file cabinets
Computer tapes are password protected For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding printouts.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Vital status information is obtained from Federal, State and Local governments and other available sources. Information is obtained from the individual and from employer records.

Systems exempted from certain provisions of the act: None.

09-20-0020

System name: Workers Exposed to Bis(chloromethyl) Ether and Chloromethyl methyl ether -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Surveillance, Hazard Evaluations, and Field Studies, NIOSH
5555 Ridge Avenue
Cincinnati, Ohio 45213

Southwest Ohio Regional Computer Center
Medical Sciences Building
University of Cincinnati
Cincinnati, Ohio 45202

Categories of individuals covered by the system: Workers exposed to Bis(chloromethyl) Ether and Chloromethyl Methyl Ether.

Categories of records in the system: Sputum Cytology, Smoking, and Occupational History.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20(29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Computer Tape, Computer Printouts, Microfilm, and Microfiche.

Retrievability: The purpose of this system is for the cause and prevention of disease of industrial origin. NIOSH. Name is the index used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked computer room and computer tape vaults
Locked file cabinets
Computer tapes are password protected For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding printouts.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Vital status information is obtained from Federal, State and Local governments and other available

sources. Information is obtained from the individual and from employer records.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0021

System name: Study of Workers Exposed to Benzene -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Surveillance, Hazard Evaluations, and Field Studies, NIOSH
5555 Ridge Avenue
Cincinnati, Ohio 45213
Southwest Ohio Regional Computer Center
Medical Sciences Building
University of Cincinnati
Cincinnati, Ohio 45202

Categories of individuals covered by the system: Workers in the Chemical Industry Exposed to Benzene.

Categories of records in the system: Occupational Histories, Demographic Data.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20(29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Computer Tape, Computer Printout, Microfiche, and Microfilm.

Retrievability: The purpose of this system is to determine the cause and prevention of disease of occupational origin. Name is the index used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked computer room and computer tape vaults
Locked file cabinets
Computer tapes are password protected For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding printouts.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Vital status information is obtained from Federal, State and Local governments and other available sources. Information is obtained from the individual and from employer records.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives

Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0022

System name: Uranium Miner Study in Far West -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Surveillance, Hazard Evaluations, and Field Studies, NIOSH
5555 Ridge Avenue
Cincinnati, Ohio 45213

Computer Center
University of Utah
Salt Lake City, Utah 84108

Categories of individuals covered by the system: Uranium Miners in Far West (1950-1973).

Categories of records in the system: Physical Exams, sputum cytology tests, demographic information, smoking history, occupational history.

Authority for maintenance of the system: Public Health Service Act, Section 301 (42 U.S.C. 241).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manual files, computer printouts, computer cards, computer tapes, Cardex files, microfilm.

Retrievability: The main purpose of this study is to conduct a mortality and morbidity study of Uranium miners. This data is sent to other NIOSH divisions for health research. Name and case number are the indexes used to retrieve records from this system.

Safeguards:

Locked building
Locked rooms
Personnel screening
Locked computer room and computer tape vaults
Locked file cabinets For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding printouts.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0023

System name: Bureau of Mines Study in Morgantown, West Virginia -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Respiratory Disease Studies, NIOSH
944 Chestnut Ridge Road
Morgantown, West Virginia 26505

Categories of individuals covered by the system: Employees of the Bureau of Mines in Morgantown, West Virginia.

Categories of records in the system: Medical and Occupational Histories.

Authority for maintenance of the system: Coal Mine Health and Safety Act Section 501 (30 U.S.C. 951); Occupational Safety and Health Act Section 20 (29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manual files, computer cards, microfilm.

Retrievability: The purpose of this system is to conduct medical research in occupational respiratory diseases. Name and Case Number are the indexes used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked file cabinets For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include burning or shredding paper materials.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0024

System name: Workers Exposed to Benzidine - (Bladder Cancer) -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Surveillance, Hazard Evaluations, and Field Studies, NIOSH
5555 Ridge Avenue
Cincinnati, Ohio 45213

Southwest Ohio Regional Computer Center
Medical Sciences Building
University of Cincinnati
Cincinnati, Ohio 45202

Johns Hopkins University
School of Hygiene and Public Health
618 N. Wolfe Street
Baltimore, MD 21205

Categories of individuals covered by the system: Employees at selected plants using benzidine. A list of selected plant sites will be made availabe to the public upon request to the system manager.

Categories of records in the system: Occupational History, Demographic Data.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20(29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information from studies will be used by Johns Hopkins epidemiologists to conduct a medical screening program for early detection of possible bladder cancer in this group of workers. Also, see Appendix B of HEW Regulation (45 CFR, part 5b), item 100. Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if

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

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

Storage: Computer Tape, Microfilm, Microfiche, Computer Printouts.

Retrievability: The purpose of this system is to determine the cause and prevention of disease of industrial origin. Name is the index used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked computer room and computer tape vaults
Locked file cabinets
Computer tapes are password protected For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding printouts.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure: To determine if a file exists, write the Director, National Institute for Occupational Safety and Health, 5600 Fishers Lane, Parklawn Bldg. Rm. 8-05, Rockville, Maryland 20857, and provide the following information: (1) approximate date(s) and place of treatment or questionnaire administration; (2) name of study if known: (3) an individual who requests notification of or access to a medical record shall, at the time the request is made, designate a responsible representative in writing who will be willing to review the record and inform the subject individual of its contents at the representative's discretion (these notification and access procedures are requirements of the Departmental Regulations, 45 CFR, Part 5b.6, Federal Register, October 8, 1975, page 47411).

Record access procedures: Same as notification procedures. Requester should also reasonably specify the record contents being sought.

Contesting record procedures: Write the Director, National Institute for Occupational Safety and Health, 5600 Fishers Lane, Parklawn Building Rm. 8-05, Rockville, Maryland 20857. Reasonably identify the record and specify the information to be contested in accordance with Departmental Regulations, Federal Register, October 8, 1975, page 47411 (45 CFR Part 5b.7).

Record source categories: Information is obtained from employer records. Vital status information is obtained from Federal, State and Local governments and other available sources. Information is obtained from the individual and employer records.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0025

System name: Mine Enforcement Safety Administration (MESA) Dust Measurement -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Respiratory Disease Studies, NIOSH
944 Chestnut Ridge Road
Morgantown, West Virginia 26505

Categories of individuals covered by the system: U.S. Coal Miners who have been examined at least twice with 30 month intervals or more between exams.

Categories of records in the system: Medical data, dust sample measurements.

Authority for maintenance of the system: Coal Mine Health and Safety Act Section 501 (30 U.S.C. 951).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Computer tape, computer listings.

Retrievability: The purpose of this system is to conduct epidemiological statistical analysis. Name and miner number are the indexes used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked file cabinets
Locked computer room and computer tape vaults
Computer tapes are password protected For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding paper materials.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0026

System name: Respiratory Infections Study in Guyan Valley, West Virginia -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Respiratory Disease Studies, NIOSH
944 Chestnut Ridge Road
Morgantown, West Virginia 26505

Categories of individuals covered by the system: Guyan Valley, West Virginia households.

Categories of records in the system: Employment and Medical History.

Authority for maintenance of the system: Coal Mine Health and Safety Act Section 501 (30 U.S.C. 951).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Questionnaires, computer cards, laboratory log books.

Retrievability: The purpose of this system is to determine if coal miners are more susceptible to respiratory infections than the general population. Case number is the index used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked file cabinets
Locked computer room and computer tape vaults
Computer tapes are password protected For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include burning or shredding paper materials.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents

being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0027

System name: Radiation exposure records for NIOSH Employees in Morgantown -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Respiratory Disease Studies, NIOSH
944 Chestnut Ridge Road
Morgantown, West Virginia 26505

Categories of individuals covered by the system: Present and past NIOSH employees located at Morgantown, W. Va.

Categories of records in the system: Name, X-Ray exposure levels.

Authority for maintenance of the system: Occupational Safety and Health Act Section 19 (29 U.S.C. 668).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manual files.

Retrievability: The purpose of this system is to maintain X-Ray exposure records to prevent toxic exposure to harmful rays. Name is the index used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked file cabinets

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include burning or shredding paper materials.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual.

Systems exempted from certain provisions of the act: None.

09-20-0028

System name: Silicosis Study in 30 Metal Mines 1958-1962 -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Respiratory Disease Studies, NIOSH
944 Chestnut Ridge Road
Morgantown, West Virginia 26505

Computer Center, University of Utah
Salt Lake City, Utah 84108

Division of Surveillance, Hazard Evaluations, and Field Studies, NIOSH
5555 Ridge Avenue
Cincinnati, Ohio 45213

Categories of individuals covered by the system: Men employed in 30 different metal mines from 1958 to 1962.

Categories of records in the system: Demographic data, smoking histories, occupational information, physical examination data, including X-ray films.

Authority for maintenance of the system: Public Health Service Act, Section 301 (42 U.S.C. 241).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the

request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manual files, computer tapes.

Retrievability: The purpose of this system is to study the prevalence of silicosis in 1960, and to conduct subsequent mortality studies. Name is the index used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked file cabinets
Locked computer room and computer tape vaults
Computer tapes are password protected For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding paper materials.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0029

System name: Byssinosis Study at Cordova, North Carolina, Klopman Steele Plant -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Respiratory Disease Studies, NIOSH
944 Chestnut Ridge Road
Morgantown, West Virginia 26505

Categories of individuals covered by the system: Cotton-Textile Mill employees and a sample of the general population.

Categories of records in the system: Medical history, employment history, and industrial environmental records.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20 (29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manual files, computer tape, computer cards.

Retrievability: The main purpose is to conduct medical research on byssinosis. Name and code numbers are the indexes used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked computer room and computer tape vaults
Locked file cabinets
Computer tapes are password protected For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Records are retained for 17 years. Disposal methods include erasing computer tapes and burning or shredding printouts.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0030

System name: Byssinosis Research at Burlington Industries -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Respiratory Disease Studies, NIOSH
944 Chestnut Ridge Road
Morgantown, West Virginia 26505

Categories of individuals covered by the system: Textile Workers.

Categories of records in the system: Medical and Occupational Histories, Respiratory Test Results.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20(29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Data may be sent to State Vital Statistics Divisions to obtain death certificates, and to Missing Person Location Agencies to find those individuals who cannot otherwise be located. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manual files, Computer Cards, Computer Tape, Microfilm.

Retrievability: The purpose of this system is to conduct medical research and statistical analysis of Byssinosis. Name and case number are the indexes used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked computer room and computer tape vaults
Locked file cabinets
Computer tapes are password protected For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding printouts.

System manager(s) and address:

Director

National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual, from industry and trade union records and from death certificates.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0031

System name: Histocompatibility Association of Pneumoconiosis (Black Lung) in Coal Workers -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Respiratory Disease Studies, NIOSH
944 Chestnut Ridge Road
Morgantown, West Virginia 26505

Bowman Gray Medical School
Winston-Salem, North Carolina 27103

Categories of individuals covered by the system: Coal Workers in the NIOSH National Coal Study.

Categories of records in the system: Medical and employment histories, medical research questionnaires and permission forms, report forms.

Authority for maintenance of the system: Federal Coal Mine Health and Safety Act Section 501(30 U.S.C. 951); Sec. (501)(a)(5).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manual records, computer cards.

Retrievability: The main purpose is to conduct medical research in pneumoconiosis. Name and code numbers are the indexes used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked computer room and computer tape vaults
Locked file cabinets
Computer tapes are password protected For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Records are retained for 17 years. Disposal methods include erasing computer tapes and burning or shredding printouts.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested.

(These procedures are in accordance with Department Regulations (45 CFRr Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0032

System name: National Coal Miner Study -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Respiratory Disease Studies, NIOSH
944 Chestnut Ridge Road
Morgantown, West Virginia 26505

Categories of individuals covered by the system: Coal Miners.

Categories of records in the system: Occupational and Medical Histories, X-Ray, Respiratory Test Results.

Authority for maintenance of the system: Coal Mine Health and Safety Act Section 501(30 U.S.C. 951).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Data is sent to the Mining Enforcement and Safety Administration, Dept. the Interior to report incidence of pneumoconiosis. See PHS appendix, item 100. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Microfilm, Computer Tape, Computer disk, manual files.

Retrievability: The primary purpose is to conduct medical and epidemiological research on coal miners. Name or social security number is the index used to retrieve records from this system. Social Security numbers which are supplied on a voluntary basis are used for retrieval.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked computer room and computer tape vaults
Locked file cabinets
Computer tapes are password protected For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding printouts.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board

Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0033

System name: Vibration Laboratory Studies (Experimental Group) - - HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Biomedical and Behavioral Science, NIOSH
Robert A. Taft Laboratories
4676 Columbia Parkway
Cincinnati, Ohio 45226

Categories of individuals covered by the system: Voluntary, Human Experimental Subjects from the general population.

Categories of records in the system: Physical Examinations, Results of Laboratory Tests (e.g., Physiological, Acceleration Measures, Performance Tests).

Authority for maintenance of the system: Occupational Safety and Health Act Section 20(29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manual files, Computer Tape.

Retrievability: The purpose of this system is to assist in the development of workplace standards. Name, case number and study number are the indexes used to retrieve records from this system.

Safeguards:

Locked building; locked rooms
Personnel screening
Locked computer room and computer tape vaults
Locked file cabinets For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding printouts.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual.

Systems exempted from certain provisions of the act: None.

09-20-0034

System name: Occupational Vibration Field Studies (Experimental Group) -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Biomedical and Behavioral Science, NIOSH
Robert A. Taft Laboratories
4676 Columbia Parkway
Cincinnati, Ohio 45226

Categories of individuals covered by the system: Bus and Truck Drivers, Heavy Equipment Operators, Farm Workers, Foundry and Metal Workers, Wood Cutters and Wood Workers. All are volunteers.

Categories of records in the system: Medical Test Results.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20(29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Computer Tape, Manual files.

Retrievability: The purpose of this system is to assist in the development of standards for the workplace. Name and case number are the indexes used to retrieve records from this system.

Safeguards:

Locked building; locked rooms
Personnel screening
Locked computer room and computer tape vaults
Locked file cabinets For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding printouts.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected. discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual.

Systems exempted from certain provisions of the act: None.

09-20-0035

System name: Indicators of Physiological and Psychological Strain -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Biomedical and Behavioral Science, NIOSH
Robert A. Taft Laboratories
4676 Columbia Parkway
Cincinnati, Ohio 45226

176 West McMillan
Cincinnati, Ohio 45219

Categories of individuals covered by the system: Volunteer Human Laboratory Subjects.

Categories of records in the system: Physical Examination Data, Results of Laboratory Data.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20(29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Computer Cards, Laboratory Data Paper.

Retrievability: The purpose of this system is to assist in the development of standards in the workplace. Name and case number are the indexes used to retrieve records from this system.

Safeguards:

Locked building; locked rooms
Personnel screening For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include burning or shredding paper materials.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual.

Systems exempted from certain provisions of the act: None.

09-20-0036

System name: Effects of carbon monoxide on vigilance performance of College Students -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Biomedical and Behavioral Science, NIOSH
Robert A. Taft Laboratories
4676 Columbia Parkway
Cincinnati, Ohio 45226

Categories of individuals covered by the system: Volunteer Students at the University of Cincinnati.

Categories of records in the system: Medical History, Biological Data, Physiological Data, Psychomotor Data.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20(29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Computer Cards, Manual files.

Retrievability: The purpose of this system is to assist in the development of standards for the workplace. Name and case number are the indexes used to retrieve records from this system.

Safeguards:

Locked building; locked rooms
Personnel screening
Locked file cabinets For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include burning or shredding printouts.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual.

Systems exempted from certain provisions of the act: None.

09-20-0038

System name: Epidemiological Study of United States Surface Coal Miners -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Respiratory Disease Studies, NIOSH
944 Chestnut Ridge Road
Morgantown, West Virginia 26505

Categories of individuals covered by the system: Surface Coal Miners.

Categories of records in the system: Medical and Occupational Histories, Respiratory Test Results, X-Ray.

Authority for maintenance of the system: Coal Mine Health and Safety Act Section 501(30 U.S.C. 951).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Computer Cards, Computer Tape and Disk, Microfilm, File Cabinets.

Retrievability: The purpose of this system is to perform medical and epidemiological research and statistical analyses on respiratory diseases of surface coal miners. Name and Case Number are the indexes used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked computer room and computer tape vaults
Locked file cabinets
Computer tapes are password protected For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding printouts.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health

5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0039

System name: Study of workers in Tyler, Texas asbestos plants -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Surveillance, Hazard Evaluations, and Field Studies, NIOSH
5555 Ridge Avenue
Cincinnati, Ohio 45213

Southwest Ohio Regional Computer Center
Medical Sciences Building
University of Cincinnati
Cincinnati, Ohio 45202

Texas Chest Foundation
P.O. Box 2003
Tyler, Texas 75701

Categories of individuals covered by the system: Employees of Tyler, Texas Asbestos Plant.

Categories of records in the system: Occupational histories, demographic data.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20(29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Data is supplied to the Texas Chest Foundation in order to permit them to contact asbestos workers for follow-up medical studies. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Computer tape, microfilm, microfiche, computer printouts, manual files.

Retrievability: The purpose of this system is to determine the cause and prevention of occupationally-related diseases. Name is the index used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked computer room and computer tape vaults
Locked file cabinets
Computer tapes are password protected For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding printouts.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained from employer records. Vital status information is obtained from Federal, State and Local governments and other available sources.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0040

System name: Pennsylvania Coal Miners Study -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Respiratory Disease Studies, NIOSH
944 Chestnut Ridge Road
Morgantown, West Virginia, 26505

Categories of individuals covered by the system: Pennsylvania Coal Miners.

Categories of records in the system: Demographic data, medical and employment histories, mortality data, including death certificates.

Authority for maintenance of the system: Federal Coal Mine Health and Safety Act Section 501(30 U.S.C. 951).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Data may be sent to State Vital Statistics Divisions to obtain death certificates, and to Missing Person Location Agencies to find those individuals who cannot otherwise be located. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Computer tapes, computer cards, manual files.

Retrievability: The main purpose is to conduct a mortality study on Pennsylvania coal miners. Survey number is the index used to retrieve records from this system.

Safeguards:

Guard service in building
Locked building; locked rooms
Personnel screening
Locked computer room and computer tape vaults
Locked file cabinets
Computer tapes are password protected For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding printouts.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual and from death certificates.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member

Appropriate local newspaper (obituaries)

09-20-0041

System name: Purseglove Mine (West Virginia) Shift Study -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Respiratory Disease Studies, NIOSH
944 Chestnut Ridge Road
Morgantown, West Virginia 26505

Categories of individuals covered by the system: Coal Miners at Purseglove Mine, West Virginia.

Categories of records in the system: Occupational and medical history, respiratory test results.

Authority for maintenance of the system: Federal Coal Mine Health and Safety Act, Section 501(30 U.S.C. 951).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manual files, computer cards, computer tape, microfilm.

Retrievability: The main purpose of this system is to determine effects of shift work on occupational respiratory diseases. Name and case numbers are the indexes used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked computer room and computer tape vaults
Locked file cabinets
Computer tapes are password protected For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Records are retained for 20 years. Disposal methods include erasing computer tapes and burning or shredding printouts.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0042

System name: Study of Workers Exposed to Chlorinated Hydrocarbons -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Surveillance, Hazard Evaluations, and Field Studies, NIOSH
5555 Ridge Avenue
Cincinnati, Ohio 45213

Southwest Ohio Regional Computer Center
Medical Sciences Building
University of Cincinnati
Cincinnati, Ohio 45202

Categories of individuals covered by the system: Trichloroethylene, polychlorinated biphenols, ethyline biodiomine, and chloropreme exposed workers in selected plants.

Categories of records in the system: Questionnaires, Physical Examinations, Occupational History, and Sputum Cytology.

Authority for maintenance of the system: Occupational Safety and Health Act, Section 20 (29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Depart-

ment of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Microfilm, microfiche, computer tape, computer printouts.

Retrievability: The purpose of this system is to determine the cause and prevention of occupationally-related diseases. Name is the index used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked computer room and computer tape vaults
Locked file cabinets
Computer tapes are password protected For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding printouts.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Vital status information is obtained from Federal, State and local governments and other available sources. Information is obtained from the individual and from employer records.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0043

System name: Pre-Test Cosmetology Convention Study -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Surveillance, Hazard Evaluations, and Field Studies, NIOSH
5555 Ridge Avenue
Cincinnati, Ohio 45213

Categories of individuals covered by the system: Cosmetologists.

Categories of records in the system: Medical Questionnaires, X-Rays, Sputum Cytologies, Pulmonary Functions.

Authority for maintenance of the system: Occupational Safety and Health Act, Section 20 (29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such

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

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

Storage: Manual file drawers.

Retrievability: The purpose of this system is to determine the cause and prevention of occupationally-related diseases. Name is the index used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked file cabinets

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include burning or shredding printouts.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Vital status information is obtained from Federal, State and local governments and other available sources. Information is obtained from the individual and employer records.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0044

System name: Study of Cincinnati Fireworkers – HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Surveillance, Hazard Evaluations, and Field Studies, NIOSH
5555 Ridge Avenue
Cincinnati, Ohio 45213

Southwest Ohio Regional Computer Center
Medical Sciences Building
University of Cincinnati
Cincinnati, Ohio 45202

Categories of individuals covered by the system: Cincinnati, Ohio Firefighters.

Categories of records in the system: Occupational histories, medical histories, demographic information.

Authority for maintenance of the system: Occupational Safety and Health Act, Section 20 (29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Computer tape, microfilm, microfiche, source documents, computer printouts.

Retrievability: The purpose of this system is to assess the cause and prevention of diseases of occupational origin. Name and number are the indexes used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked computer room and computer tape vaults
Locked file cabinets
Computer tapes are password protected. For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed

consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding printouts.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained from employer records. Vital status information is obtained from Federal, State and local governments and other available sources.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0045

System name: Study of Pottstown, Pennsylvania Chemical Plant Workers -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Surveillance, Hazard Evaluations, and Field Studies, NIOSH
5555 Ridge Avenue
Cincinnati, Ohio 45213

Southwest Ohio Regional Computer Center
Medical Sciences Building
University of Cincinnati
Cincinnati, Ohio 45202

Categories of individuals covered by the system: Employees of Vinyl Chloride, Rubber, and Plastics Plant in Pottstown, Pennsylvania.

Categories of records in the system: Medical questionnaires, occupational history and results of medical tests, demographic information.

Authority for maintenance of the system: Occupational Safety and Health Act, Section 20 (29 U.S.C. 669)

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Computer tape, microfilm, microfiche, x-rays, computer printouts, manual files.

Retrievability: The purpose of this system is to determine the cause and prevention of occupationally-related diseases. Name is the index used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked computer room and computer tape vaults
Locked file cabinets
Computer tapes are password protected For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding printouts.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the

representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Vital status information is obtained from Federal, State and local governments and other available sources. Information is obtained from the individual and employer records.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0046

System name: Union Pacific Railroad Workers - Carbon Monoxide Study -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Respiratory Disease Studies, NIOSH
944 Chestnut Ridge Road
Morgantown, West Virginia 26505

Division of Surveillance, Hazard Evaluations, and Field Studies, NIOSH
5555 Ridge Avenue
Cincinnati, Ohio 45213

Categories of individuals covered by the system: Selected Union Pacific Railroad workers exposed to carbon monoxide.

Categories of records in the system: Questionnaires, x-rays, sputum cytology, pulmonary function.

Authority for maintenance of the system: Occupational Safety and Health Act, Section 20 (29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manual files.

Retrievability: The purpose of this system is to determine the cause and prevention of occupationally-related diseases. Name is the index used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked file cabinets

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include burning or shredding printouts.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Vital status information is obtained from Federal, State and local governments and other available sources. Information is obtained from the individual and employer records.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments

Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0047

System name: Studies of Workers in Asbestos Related Industries -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Surveillance, Hazard Evaluations, and Field Studies, NIOSH
5555 Ridge Avenue
Cincinnati, Ohio 45213

Southwest Ohio Regional Computer Center
Medical Sciences Building
University of Cincinnati
Cincinnati, Ohio 45202

Categories of individuals covered by the system: Employees in selected asbestos related industries.

Categories of records in the system: Pulmonary function, x-rays, medical questionnaires, smoking histories, and occupational histories.

Authority for maintenance of the system: Occupational Safety and Health Act, Section 20 (29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Computer tape, microfilm, microfiche, computer printouts, and manual files.

Retrievability: The purpose of this system is to determine the cause and prevention of occupationally-related diseases. Name is the index used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked computer room and computer tape vaults
Locked file cabinets
Computer tapes are password protected For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding printouts.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Vital status information is obtained from Federal, State and local governments and other available sources. Information is obtained from the individual and employer records.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives

Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0048

System name: Study of workers exposed to fibrous glass -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Surveillance, Hazard Evaluations, and Field Studies, NIOSH
5555 Ridge Avenue
Cincinnati, Ohio 45213

Southwest Ohio Regional Computer Center
Medical Sciences Building
University of Cincinnati
Cincinnati, Ohio 45202

Categories of individuals covered by the system: Employees exposed to fibrous glass from several plants.

Categories of records in the system: Occupational history, demographic data, drivers licence data.

Authority for maintenance of the system: Occupational Safety and Health Act, Section 20 (29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Computer tape, microfilm, microfiche, computer printouts, manual files.

Retrievability: The purpose of this system is to determine the cause and prevention of occupationally-related diseases. Name is the index used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked computer room and computer tape vaults
Locked file cabinets
Computer tapes are password protected For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding printouts.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained from employer records. Vital status information is obtained from Federal, State and local governments and other available sources.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0049

System name: Workers Exposed to Cotton Dust - Byssinosis -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Surveillance, Hazard Evaluations, and Field Studies, NIOSH
5555 Ridge Avenue
Cincinnati, Ohio 45213

Southwest Ohio Regional Computer Center
Medical Sciences Building
University of Cincinnati
Cincinnati, Ohio 45202

Division of Respiratory Disease Studies, NIOSH
944 Chestnut Ridge Road
Morgantown, West Virginia 26505

Categories of individuals covered by the system: Workers from selected plants in the cotton industry.

Categories of records in the system: Medical questionnaires, x-ray, sputum cytology, pulmonary function.

Authority for maintenance of the system: Occupational Safety and Health Act, Section 20 (29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in

response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Computer tape, microfilm, microfiche, computer printouts.

Retrievability: The purpose of this system is to determine the cause and prevention of disease of industrial origin. Name is the index used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked computer room and computer tape vaults
Locked file cabinets
Computer tapes are password protected For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding printouts.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Vital status information is obtained from Federal, State and local governments and other available sources. Information is obtained from the individual and from employer records.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0050

System name: Appalachian Coal Miner Study (1963-1966) -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Respiratory Disease Studies, NIOSH
944 Chestnut Ridge Road
Morgantown, West Virginia 26505

Categories of individuals covered by the system: Coal miners.

Categories of records in the system: Medical and occupational histories.

Authority for maintenance of the system: Public Health Service Acts, Section 301 (42 U.S.C. 241).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Data may be sent to State Vital Statistics Divisions to obtain death certificates, and to Missing Person Location Agencies to find those individuals who cannot otherwise be located. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity

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

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

Storage: Computer cards.

Retrievability: The purpose of this system is to research Black lung in coal miners. Name and case number are the indexes used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked file cabinets For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include burning or shredding paper materials.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual and from death certificates.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0051

System name: Kaiser Aluminum Employees at Ravenswood, West Virginia Study -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Respiratory Disease Studies, NIOSH
944 Chestnut Ridge Road
Morgantown, West Virginia 26505

Categories of individuals covered by the system: Employees of Kaiser Aluminum at Ravenswood, West Virginia.

Categories of records in the system: Occupational history, medical test results.

Authority for maintenance of the system: Federal Coal Mine Health and Safety Act, Section 501 (30 U.S.C. 951).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manual files, computer tape, computer cards.

Retrievability: The purpose of this system is the research of respiratory disease. Name and case number are the indexes used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked file cabinets
Locked computer room and computer tape vaults
Computer tapes are password protected For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding paper materials.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0052

System name: West Virginia Pulp and Paper Company Study -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Respiratory Disease Studies, NIOSH
944 Chestnut Ridge Road
Morgantown, West Virginia 26505

Categories of individuals covered by the system: Employees of West Virginia Pulp and Paper Company.

Categories of records in the system: Medical and employment histories, medical test results.

Authority for maintenance of the system: Occupational Safety and Health Act, Section 20 (29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manual files and computer cards.

Retrievability: The purpose of this system is to survey respiratory illnesses of carbon electrode workers. Name and case number are the indexes used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked file cabinets For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include burning or shredding paper materials.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0053

System name: Coal Miner Medical Information Processing System -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Respiratory Disease Studies, NIOSH
944 Chestnut Ridge Road
Morgantown, West Virginia, 26505

Categories of individuals covered by the system: Coal miners.

Categories of records in the system: Medical and occupational histories.

Authority for maintenance of the system: Coal Mine Health and Safety Act, Section 203 (30 U.S.C. 843).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Report to Mining Enforcement and Safety Administration on pneumoconiosis findings. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Microfilm, computer tape, computer disk, x-rays.

Retrievability: The main purpose is to maintain results of x-rays of coal miners to substantiate claims for Black Lung Benefits and to conduct medical research. Data are given to other NIOSH units for epidemiological research and statistical analysis. Name and social security number are the indexes used to retrieve records from this system. Retrieval by social security number is in accordance with Section 7(a)(2)(B) of the Privacy Act.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked file cabinets
Locked computer room and computer tape vaults
Computer tapes are password protected For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding paper materials.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual.

Systems exempted from certain provisions of the act: None.

09-20-0054

System name: New Mexico Potash Miner Study -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Respiratory Disease Studies, NIOSH
944 Chestnut Ridge Road
Morgantown, West Virginia 26505

Categories of individuals covered by the system: Men employed in New Mexico potash mines.

Categories of records in the system: Company personnel records (employment history, application for employment).

Authority for maintenance of the system: Public Health Service Act, Section 301 (42 U.S.C. 241).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is oc-

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

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

Storage: Computer tapes, microfilm, manual files.

Retrievability: The main purpose is to conduct mortality studies. Name is the index used to retrieve records from this system.

Safeguards:

Locked building; locked rooms
Personnel screening
Locked file cabinets
Locked computer rooms and computer tape vaults For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding paper materials.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Company personnel records.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0055

System name: Research/Demonstration, and Training Grants, Application Files -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Research Grants, NIH
Westbard Bldg.
Westbard Ave.
Bethesda, Maryland, 20014

Grants Administration and Review Branch, NIOSH
Parklawn Bldg., Rm. 8-63
5600 Fishers Lane
Rockville, Maryland 20857

Division of Training and Manpower Development, NIOSH
4676 Columbia Pkwy.
Cincinnati, Ohio 45226

Grants Management Officer, NIOSH
Parklawn Bldg., Rm. 8-35
5600 Fishers Lane
Rockville, Maryland 20857

Categories of individuals covered by the system: Applicants for occupational safety and health research and demonstration grants, and training grants.

Categories of records in the system: Grant application and review history, awards, financial records and progress reports and related correspondence.

Authority for maintenance of the system: Occupational Safety and Health Act, Sections 20 and 21 (29 U.S.C. 669, 670).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1)To the Smithsonian Science Information Exchange for dissemination of science information (applies to research grants only and is in the form of abstracts). (2)To the cognizant audit agency for auditing. (3) In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected. (4)To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. (5)To qualified experts not within the definition of Department employees as prescribed in Department regulations (45 CFR, Part 5b.2) for opinions as a part of the application review process. (6)To a Federal agency, in response to its request, in connection with the letting of a contract, or the issuance of a license, grant or other benefit by the requesting agency, to the extent that the record is relevant and necessary to the requesting agency's decision on the matter. (7)To individuals and organizations deemed qualified by PHS to carry out specific research related to the review and award processes of PHS. (8)To organizations in the private sector with whom PHS has contracted for the purpose of collating, analyzing, aggregating, or otherwise refining records in a system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records. (9)To the grantee institution relative to performance or administration under the terms and conditions of the award.

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

Storage: 5X8 cards, computer tapes and discs, notebooks and file folders.

Retrievability: The purpose of this system is to review grant applications for research and training and to administer funded grants.

This information is provided to NIH and to other components of NIOSH for review. Name is the index used to retrieve information.

Safeguards: The records are maintained in locked cabinets with access limited to authorized personnel (system manager, principal investigator assigned to the project, project officer). For computerized records, safeguards are established in accordance with Departmental standards and National Bureau of Standards guidelines, e.g., security codes will be used limiting access to authorized personnel.

Retention and disposal: Information is kept while grant is active and for 3 years beyond termination. Then it is sent to the Federal Records Center in Dayton. Applications reviewed and not funded are kept for 2 years. Disposed records are discarded in the trash.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual.

Systems exempted from certain provisions of the act: None.

09-20-0056

System name: Metabolic Costs and Physiological Responses to Heat in Industrial work -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Biomedical and Behavioral Science, NIOSH
Robert A. Taft Laboratories
4676 Columbia Parkway
Cincinnati, Ohio 45226

Categories of individuals covered by the system: Volunteer industrial workers.

Categories of records in the system: Results of measurements of physiological responses during occupational work.

Authority for maintenance of the system: Occupational Safety and Health Act, Section 20 (29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Computer cards, manual files.

Retrievability: The purpose of this system is to assist in developing standards for the workplace. Name is the index used to retrieve records from this system.

Safeguards:

Guard service in building
Locked building; locked rooms
Personnel screening
Locked file cabinets For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include burning or shredding paper materials.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual.

Systems exempted from certain provisions of the act: None.

09-20-0057

System name: Kennecott Sulfur Dioxide Study -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Respiratory Disease Studies, NIOSH
944 Chestnut Ridge Road
Morgantown, West Virginia 26505

Categories of individuals covered by the system: Employees at Kennecott Copper Smelter and at Kennecott/ Bingham Mine Shops between 1972 - 1975.

Categories of records in the system: X-ray films, health questionnaire, pulmonary function measurements.

Authority for maintenance of the system: Occupational Safety and Health Act, Section 20 (29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection

with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Computer tapes, computer printouts.

Retrievability: Purpose is to investigate the relationship between sulfur dioxide and pulmonary diseases. Name is the index used to retrieve records from this system.

Safeguards:

Locked building; locked rooms
Personnel screening
Locked file cabinets
Locked computer rooms and computer tape vaults For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding paper materials.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0058

System name: Potential Grant Applicant File -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Office of Extramural Activities, NIOSH
U.S. Post Office & Courthouse
Cincinnati, Ohio 45202

Categories of individuals covered by the system: Potential applicants for occupational safety and health research, demonstration, or training grants.

Categories of records in the system: Correspondence, draft proposals.

Authority for maintenance of the system: Occupational Safety and Health Act, Sections 20 and 21 (29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manual files.

Retrievability: The purpose of this system is to maintain information about potential grant applicants. Name is the index used to retrieve information from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked file cabinets
Locked computer room and computer tape vaults
Computer tapes are password protected

Retention and disposal: Information is kept until formal application is made. Then the information is discarded. If formal application is not made within two years, the information is discarded. Records are thrown in the trash when disposed.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05

Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual.

Systems exempted from certain provisions of the act: None.

09-20-0059

System name: Division of Training Mailing List -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Training, NIOSH
4676 Columbia Parkway
Cincinnati, Ohio 45226

Parklawn Computer Center
5600 Fishers Lane
Rockville, Maryland 20857

American Advertising Company
Cincinnati, Ohio

Categories of individuals covered by the system: Persons who have taken a NIOSH Training Course or who ask to be placed on the list.

Categories of records in the system: Name and address.

Authority for maintenance of the system: Occupational Safety and Health Act, Section 21 (29 U.S.C. 670).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Computer tapes, addressograph plates.

Retrievability: The purpose of this system is to advise prospective students of upcoming NIOSH training courses. Name and Student Number are the indexes used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked file cabinets
Locked computer room and computer tape vaults For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding paper materials.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual.

Systems exempted from certain provisions of the act: None.

09-20-0060

System name: Study of Metals Industry Workers -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Surveillance, Hazard Evaluations, and Field Studies, NIOSH
5555 Ridge Avenue
Cincinnati, Ohio 45213

Southwest Ohio Regional Computer Center
Medical Sciences Building
University of Cincinnati
Cincinnati, Ohio 45202

Division of Respiratory Disease Studies, NIOSH
944 Chestnut Ridge Road
Morgantown, West Virginia 26505

Categories of individuals covered by the system: Beryllium workers, cadmium workers, antimony workers, and lead workers.

Categories of records in the system: Occupational history, medical questionnaires.

Authority for maintenance of the system: Occupational Safety and Health Act, Section 20 (29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee

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

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

Storage: Computer tape, computer printout, microfilm, and microfiche.

Retrievability: The purpose of this system is to determine the cause and prevention of disease(s) resulting from exposures of various metals. Name is the index used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel Screening
Locked computer room and computer tape vaults
Locked file cabinets
Computer tapes are password protected. For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding printouts.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Vital status information is obtained from Federal, State and local governments and other available sources. Information is obtained from the individual and employer records.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0061

System name: Cosmetology Workers Study (Thesaurosis) -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Surveillance, Hazard Evaluations, and Field Studies, NIOSH
5555 Ridge Avenue
Cincinnati, Ohio 45213

Categories of individuals covered by the system: Workers exposed to cosmetic aerosols.

Categories of records in the system: Medical questionnaires, X-ray, Sputum Cytology, and Pulmonary Function.

Authority for maintenance of the system: Occupational Safety and Health Act (PL 91-595) Section 20 (29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: File drawers and computer tape.

Retrievability: The purpose of this system is the cause and prevention of disease of occupational origin. Name is the index used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening

Locked file cabinets For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding printouts.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Vital status information is obtained from Federal, State and Local governments and other available sources. Information is obtained from the individual and employer records.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0062

System name: Study of workers exposed to polyvinyl chloride in the plastics industry at Ashtabula, Ohio; Avon Lake, Ohio and Louisville, Kentucky -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Surveillance, Hazard Evaluations, and Field Studies, NIOSH
5555 Ridge Avenue
Cincinnati, Ohio 45213

Southwest Ohio Regional Computer Center
Medical Sciences Building
University of Cincinnati
Cincinnati, Ohio 45202

Categories of individuals covered by the system: Workers in the plastic industry at selected plants.

Categories of records in the system: Occupational history and demographic data.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20 (29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Computer tape, microfilm, microfiche, computer printouts.

Retrievability: The purpose of this system is to determine cause and prevention of disease of industrial origin. Name is the index used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked computer room and computer tape vaults
Locked file cabinets
Computer tapes are password protected For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding printouts.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Vital status information is obtained from Federal, State and Local governments and other available sources. Information is obtained from the individual and from employer records.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0063

System name: Biochemical Data System -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Respiratory Disease Studies, NIOSH
944 Chestnut Ridge Road
Morgantown, West Virginia 26505

Categories of individuals covered by the system: Coal miners, beryllium workers, pulmonary outpatient clinic patients.

Categories of records in the system: Analyses of biochemical data.

Authority for maintenance of the system: Occupational Safety and Health Act Section 22(d) (29 U.S.C. 671(d)); Federal Coal Mine Health and Safety Act Section 427(b) (30 U.S.C. 937(b)).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: File cabinet.

Retrievability: The main purpose is to identify early indicators of diseases (biochemical indices). Data is given to other NIOSH units for biochemical and epidemiological studies. Case number and name are the indexes used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked computer room and computer tape vaults
Locked file cabinets
Computer tapes are password protected

Retention and disposal: Records are retained for 20 years. Disposal methods include erasing tapes and burning or shredding printouts.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up

Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0064

System name: Textile Workers Audiogram Results -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Biomedical and Behavioral Science, NIOSH
Robert A. Taft Laboratories
4676 Columbia Parkway
Cincinnati, Ohio 45226

Categories of individuals covered by the system: Southeastern U.S. Textile Mill Workers.

Categories of records in the system: Results of hearing tests.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20 (29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Microfilm and computer cards.

Retrievability: The purpose of this system is to assist in developing standards for the workplace. Name is the index used to retrieve records from this system.

Safeguards:

Guard service in building
Locked building; locked rooms
Personnel screening
Locked file cabinets For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include burning or shredding paper materials.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories:

Doctor's Memorial Hospital Hearing and Speech Center
Atlanta, Georgia.

Systems exempted from certain provisions of the act: None.

09-20-0065

System name: Noise-induced Temporary Threshold Shift Data -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Biomedical and Behavioral Sciences, NIOSH
4576 Colombia Parkway
Cincinnati, Ohio 45226

Categories of individuals covered by the system: Volunteer Subjects in Cincinnati, Ohio.

Categories of records in the system: Hearing acuity tests.

Authority for maintenance of the system: Occupational Safety Health Act Section 20 (29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Computer cards, index audiogram files.

Retrievability: The purpose of this system is to assist in developing standards for the workplace. Name is the index used to retrieve records from this system.

Safeguards:

Service in building
Locked building; locked rooms
Personnel screening
Locked file cabinets

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include burning or shredding paper materials.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director

National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual.

Systems exempted from certain provisions of the act: None.

09-20-0067

System name: Coal Mine Hearing Study -- HEW/CDC/NIOSH.

Security classification: None.

System location: See Appendix.

Categories of individuals covered by the system: Union Coal Mine Workers employed in Mines East of the Mississippi River.

Categories of records in the system: Hearing Test Results.

Authority for maintenance of the system: Coal Mine Health and Safety Act Section 501 (30 U.S.C. 951).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manual files and computer cards.

Retrievability: The purpose of this system is to assist in the development of standards for the workplace. Name is the index used to retrieve records from this system.

Safeguards:

Guard service in building
Locked building; locked rooms
Personnel screening
Locked file cabinets For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include burning or shredding paper materials.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual.

Systems exempted from certain provisions of the act: None.

Appendix

Jandy Coal: Eureka
090 Mine
Windmen, Pennsylvania

Barnes and Tucker
Lancashire 025 Mine
Barnesboro, Pennsylvania

Fawn Mine
Saxonburg, Pennsylvania

Russellton Mine
Russellton, Pennsylvania

Lundale 01 Mine
Lundale, West Virginia

Bethlehem Mines
116 Mine
Eunice, West Virginia

Olsa Mine
Coalwood, West Virginia

U.S. Steel
032 Mine
Lynch, Kentucky

International Harvester
010 Mine
Benham, Kentucky

White Ash
01 Mine
River, Kentucky

Star Mine
Central City, Kentucky

Division of Laboratories and Criteria Development
National Institute for Occupational Safety and Health
1014 Broadway
Cincinnati, Ohio 45202

09-20-0068

System name: Individuals listed in the 1960 American Dental Association Directory -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Surveillance, Hazard Evaluations, and Field Studies, NIOSH
5555 Ridge Avenue
Cincinnati, Ohio 45213

Parklawn Computer Center
5600 Fishers La., Rm. 2A80
Rockville, Md. 20857

Dept. Com. Dentistry
School of Dentistry
Temple University
Philadelphia, Pa.

NIOSH
944 Chestnut Ridge Rd.
Morgantown, West Virginia 26505

Categories of individuals covered by the system: Individuals listed in the 1960 American Dental Association Directory.

Categories of records in the system: Demographic data, including follow-up questionnaires.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20 (29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Computer tapes, computer disk, computer listings, computer cards.

Retrievability: The purpose of this system is to analyze the mortality patterns of American dentists. Name and record number are the indexes used to retrieve records from this system.

Safeguards:

Guard service in building
Locked building; locked rooms
Personnel screening
Locked file cabinets
Locked computer room and computer tape vaults For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding paper materials.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories:

1960 and 1968 Directories of the American Dental Association
State Boards of Dental Examiners
Local Dental Societies
NIH Division of Dentistry
Local Postmaster
directly from individual
dental supply houses
directories

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0069

System name: Coal Miner Study in Charleston-Beckley, West Virginia -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Respiratory Disease Studies, NIOSH
944 Chestnut Ridge Road
Morgantown, West Virginia 26505

Categories of individuals covered by the system: West Virginia coal miners.

Categories of records in the system: Medical history, death certificates.

Authority for maintenance of the system: Coal Mine Health and Safety Act Section 501 (30 U.S.C. 951).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Data may be sent to State Vital Statistics Divisions to obtain death certificates, and to Missing Person Location Agencies to find those individuals who cannot otherwise be located. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Computer tapes, computer cards, questionnaires, X-rays.

Retrievability: The purpose of this system is to conduct an epidemiological study of coal miners in West Virginia. Name and Identification Number are the indexes used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked file cabinets
Locked computer room and computer tape vaults
Computer tapes are password protected For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding paper materials.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual and from death certificates.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0070

System name: Study of New Jersey Motor Vehicle Examiners exposed to Carbon Monoxide -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Surveillance, Hazard Evaluations, and Field Studies, NIOSH
5555 Ridge Avenue
Cincinnati, Ohio 45213

Southwest Ohio Regional Computer Center
Medical Sciences Building
University of Cincinnati
Cincinnati, Ohio 45202

Categories of individuals covered by the system: New Jersey Motor Vehicle Examiners.

Categories of records in the system: Occupational History, Medical Questionnaires, Blood Test, Driver's License.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20 (29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The pur-

pose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Computer tape, microfilm, microfiche, computer printouts.

Retrievability: The purpose of this system is to determine the cause and prevention of disease of industrial origin. Name is the index used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked computer room and computer tape vaults
Locked file cabinets
Computer tapes are password protected For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding printouts.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories:

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)
Vital status information is obtained from Federal, State and Local governments and other available sources.
Information is obtained from the individual and from employer records.

09-20-0071

System name: Determination of Normal Baseline Pulmonary Values -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Biomedical and Behavioral Science, NIOSH
Robert A. Taft Laboratories
4676 Columbia Parkway
Cincinnati, Ohio 45226

Categories of individuals covered by the system: Male volunteers (18-21).

Categories of records in the system: Medical history and pulmonary function values.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20 (29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Computer cards, computer tape, and laboratory log sheets.

Retrievability: The purpose of this system is to assist in the development of standards criteria for the workplace. Initials and case number are the indexes used to retrieve records from this system.

Safeguards:

Guard service in building
Locked building; locked rooms
Personnel screening
Locked file cabinets

Locked computer room and computer tape vaults For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding paper materials.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual.

Systems exempted from certain provisions of the act: None.

09-20-0073

System name: Hearing and Noise Study of Industrial Workers -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Biomedical and Behavioral Science, NIOSH
Robert A. Taft Laboratories
4676 Columbia Parkway
Cincinnati, Ohio 45226

Categories of individuals covered by the system: See Appendix.

Categories of records in the system: Hearing test results.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20 (29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Audiogram questionnaire forms, computer cards.

Retrievability: The purpose of this system is to assist in determining standards for the workplace. Name is the index used to retrieve records from this system.

Safeguards:

Guard service in building
Locked building; locked rooms
Personnel screening
Locked file cabinets For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include burning or shredding paper materials.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual.

Systems exempted from certain provisions of the act: None.

Appendix

Employees of the following companies:
Steel Fabricating & Processing
Ashland, Kentucky

Paper-Bag Making
Florence, Kentucky

Printing
Glendale, Maryland

Aluminum Fabricating & Processing
Richmond, Virginia

Quarry
Elberton, Georgia

Woodworking
Louisville, Kentucky

Hydro-Electric Power
Knoxville, Tennessee

Steel Fabricating
Bethlehem, Pennsylvania

Tunnel Patrol
Baltimore, Maryland

Printing and Engraving
Washington, D.C.

Printing
Washington, D.C.

Tunnel Patrol New York, New York

Trucking
Hamilton County, Ohio

09-20-0074

System name: Fireman Hearing Study -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Biomedical and Behavioral Science, NIOSH
Robert A. Taft Laboratories
4676 Columbia Parkway
Cincinnati, Ohio 45226

Categories of individuals covered by the system: Firemen from Cincinnati, Ohio.

Categories of records in the system: Results of hearing tests.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20 (29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Audiogram cards and computer cards.

Retrievability: The purpose of this system is to assist in developing standards for the workplace. Name is the index used to retrieve records from this system.

Safeguards:

Guard service in building
Locked building; locked rooms
Personnel screening
Locked file cabinets For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include burning or shredding paper materials.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual.

Systems exempted from certain provisions of the act: None.

09-20-0075

System name: Hard Rock Miner Mortality Study -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Respiratory Disease Studies, NIOSH
944 Chestnut Ridge Road
Morgantown, West Virginia 26505

Computer Center
University of Utah
Salt Lake City, Utah 84108

Categories of individuals covered by the system: Men who worked underground in copper mines between 1940 and 1965.

Categories of records in the system: Abstracts from personnel records.

Authority for maintenance of the system: Public Health Service Act, Section 301 (42 U.S.C. 241).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manual files, computer tapes.

Retrievability: The main purpose of this study is to conduct a mortality study. Name and case number are the index used to retrieve records.

Safeguards:

Locked building; locked rooms
Personnel screening
Locked file cabinets
Locked computer room and computer tape vaults For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding paper materials.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Company personnel records.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0076

System name: Uranium Mill Worker Study in Colorado -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Surveillance, Hazard Evaluations, and Field Studies, NIOSH
5555 Ridge Avenue
Cincinnati, Ohio 45213

Computer Center
University of Utah
Salt Lake City, Utah 84108

Categories of individuals covered by the system: Uranium mill workers for Climax Uranium Company or, Union Carbide Nuclear in Grand Junction, Colorado.

Categories of records in the system: Personnel records (employment records, previous work histories, application for employment).

Authority for maintenance of the system: Public Health Service Act, Section 301 (42 U.S.C. 241).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Microfilm, computer cards, computer tape.

Retrievability: The main purpose of this study is to conduct a mortality study of uranium mill workers. Name is the index used to retrieve records.

Safeguards:

Locked building; locked rooms
Personnel screening
Locked file cabinets
Locked computer room and computer tape vaults For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding paper materials.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably

identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Company personnel records.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0077

System name: Survey of Arizona Asbestos Miners and Mill Workers (1969) -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Respiratory Disease Studies, NIOSH
944 Chestnut Ridge Road
Morgantown, West Virginia 26505

Categories of individuals covered by the system: Persons working in Arizona asbestos operations in 1969.

Categories of records in the system: Medical examinations, occupational histories, demographic information, results of chest X-rays.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20 (29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: This data may be transferred to the Environmental Protection Agency for continued health research. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manual files.

Retrievability: The main purpose of this study is to assess the health status of Arizona asbestos workers. Name is the index used to retrieve records.

Safeguards:

Locked building; locked rooms
Personnel screening
Locked file cabinets

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Printouts are discarded as trash.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0078

System name: Berylliosis/Sarcoidosis Study of Beryllium Plant Workers -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Respiratory Disease Studies, NIOSH
944 Chestnut Ridge Road
Morgantown, West Virginia 26505

Categories of individuals covered by the system: Beryllium plant workers, sarcoid registry, sample of general population.

Categories of records in the system: Medical, employment and industrial environment records.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20 (29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Report form, computer tape, computer cards, medical research questionnaire and permission forms.

Retrievability: The main purpose is to conduct medical research. Name and code numbers are the indexes used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked file cabinets
Locked computer room and computer tape vaults
Computer tapes are password protected For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Records are retained for 17 years. Disposal methods include erasing computer tapes and burning or shredding paper materials.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0079

System name: Medical Records of Patients Examined at NIOSH in Morgantown, West Virginia -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Respiratory Disease Studies, NIOSH
944 Chestnut Ridge Road
Morgantown, West Virginia 26505

Categories of individuals covered by the system: Individuals at excess risk to occupational respiratory diseases, plus a sample of the general population.

Categories of records in the system: Occupational and medical histories and results of medical tests.

Authority for maintenance of the system: Coal Mine Health and Safety Act Section 501 (30 U.S.C. 951), Occupational Safety and Health Act Section 20 (29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45

CFR Part 5b), item 100). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manual files, computer tapes, computer disks, computer cards, microfilm.

Retrievability: The purpose of this system is to perform medical and epidemiological research and statistical analyses. Name and case number are the indexes used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked file cabinets
Locked computer room and computer tape vaults
Computer tapes are password protected For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding paper materials.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual.

Systems exempted from certain provisions of the act: None.

09-20-0080

System name: Miner/Neighbor Study in Pineville, West Virginia -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Respiratory Disease Studies, NIOSH
944 Chestnut Ridge Road
Morgantown, West Virginia 26505

Categories of individuals covered by the system: Coal miners, lumber employees and white collar workers in Pineville, West Virginia.

Categories of records in the system: Medical histories, demographic data, X-rays.

Authority for maintenance of the system: Coal Mine Health and Safety Act Section 501 (30 U.S.C. 951), Occupational Safety and Health Act Section 20 (29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Computer tapes, manual files.

Retrievability: The main purpose is to conduct an epidemiological study of coal miners and lumber workers. . Case number is the index used to retrieve records.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked file cabinets
Locked computer room and computer tape vaults
Computer tapes are password protected For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding paper materials.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and

inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0082

System name: Diagnosis of occupational disease by analysis of body fluids or tissues through biochemical or clinical chemical analysis -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Biomedical and Behavioral Science, NIOSH
Robert A. Taft Laboratories
4676 Columbia Parkway
Cincinnati, Ohio 45226

Categories of individuals covered by the system: Industrial workers.

Categories of records in the system: Medical records.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20(29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Test results furnished to physician who requests analysis. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manual files.

Retrievability: The main purpose is to identify occupational diseases. Name or code is used to retrieve records from this system.

Safeguards:

Building guards
Personnel screening

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Private and Industrial physicians.

Systems exempted from certain provisions of the act: None.

09-20-0083

System name: Diagnostic methods for identification of occupational diseases through biopsy and/or autopsy specimens -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Biomedical and Behavioral Science, NIOSH
Robert A. Taft Laboratories
4676 Columbia Parkway
Cincinnati, Ohio 45226

Categories of individuals covered by the system: Industrial workers.

Categories of records in the system: Medical records.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20(29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Test results are furnished to the physician who requests analysis. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending

claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manual files.

Retrievability: The main purpose is to identify occupational diseases. Name or code is used to retrieve records from this system.

Safeguards:

Building guards
Personnel screening

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Private and Industrial physicians.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0084

System name: Metal Mining Mortality Survey System -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Respiratory Disease Studies, NIOSH
944 Chestnut Ridge Road
Morgantown, West Virginia 26505

Categories of individuals covered by the system: Metal miners.

Categories of records in the system: Medical histories, death certificates.

Authority for maintenance of the system: Federal Metal and Nonmetalic Mine Safety Act Section 4(30 U.S.C. 723).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Data may be sent to State Vital Statistics Bureau to obtain death certifictates. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Computer tapes, questionnaires, computer cards, manual files.

Retrievability: The main purpose is to obtain death certificates of deceased miners. Survey number and name are the indexes used to retrieve records.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked file cabinets

Locked computer room and computer tape vaults
Computer tapes are password protected For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding paper materials.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries) /*

09-20-0085

System name: Children's Pulmonary Function Study -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Surveillance, Hazard Evaluations, and Field Studies, NIOSH
5555 Ridge Avenue
Cincinnati, Ohio 45213

Southwest Ohio Regional Computer Center
Medical Sciences Building
University of Cincinnati
Cincinnati, Ohio 45202

Categories of individuals covered by the system: Elementary School Children (6 Year Olds) in Salt Lake City, Utah.

Categories of records in the system: Spirometry Results.

Authority for maintenance of the system: Public Health Service Act, Section 301(42 U.S.C. 241).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Computer tape.

Retrievability: The purpose of this system is to establish standards for baseline pulmonary function in unimpaired lungs. Number and name are the indexes used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked computer room and computer tape vaults
Locked file cabinets
Computer tapes are password protected For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding printouts.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05

Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Vital status information is obtained from federal, state and local governments and other available sources. Information is obtained from the individual.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0086

System name: Surveillance of Persons on Isoniazid Preventive Treatment for Tuberculosis -- HEW/CDC/BSS.

Security classification: None.

System location:

TB Control Division
Building 6, Room 224, CDC
Atlanta, GA 30333
and Regional Federal Records Center

Categories of individuals covered by the system: Health Department Patients.

Categories of records in the system: Medical records.

Authority for maintenance of the system: Public Health Service Act, Section 301 (42 U.S.C. 241).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Records may be disclosed to Health Departments and other public health or cooperating medical authorities. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual. Disclosure may be made to the Department of Justice or other appropriate Federal agencies in defending claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Departmental Regulations (45 CFR, part 5b) Appendix B, Item 100.) In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Cards, file folders, and magnetic tape.

Retrievability: Statistical aggregate use. To determine extent of isoniazid-related hepatitis in persons taking isoniazid as preventive therapy against tuberculosis. Retrievable by name and I.D. number.

Safeguards: Source documents and tapes of current projects are kept in locked building with security guards during non-business hours. For computerized records, safeguards, established in accordance with Department standards and National Bureau of Standards guidelines (e.g., security codes) will be used, limiting access to authorized personnel.

Retention and disposal: Transfer to Federal Records Center when no longer needed for evaluation and analysis. Destroy when 20 years old unless needed for further study. How destroyed: paper shredded or burned; scratch tape.

System manager(s) and address:

Director
Bureau of State Services
Building 1, Room 2047, CDC
Atlanta, GA 30333

Notification procedure: To determine if a file exists, write the Director, Bureau of State Services, Building 1, Room 2047, Center for Disease Control, Atlanta, Georgia 30333, and provide the following information: (1) approximate date(s) and place of treatment or questionnaire administration, (2) name of study, if known; (3) an individual who requests notification of or access to a medical record shall, at the time the request is made, designate a responsible representative in writing who will be willing to review the record and inform the subject individual of its contents at the representative's discretion (these notification and access procedures are requirements of the Department Regulations, 45 CFR, Part 4.6, Federal Register, October 8, 1975, page 47411). A parent or guardian who requests notification of or access to a minor's record shall at the time the request is made designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The designee will receive the record in all cases and upon review will determine whether the record should be made available to the parent or guardian.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Part 5b.5(a)(2) Federal Register, October 8, 1975, page 47410).

Contesting record procedures: Write the Privacy Act Coordinator, Management Analysis Office, Center for Disease Control, Atlanta, Georgia 30333. Reasonably identify the record and specify the information to be contested in accordance with Department Regulations, Federal Register, October 8, 1975, page 47411 (45 CFR, Part 5.b.7).

Record source categories: State and Local Health Departments.

Systems exempted from certain provisions of the act: None.

09-20-0087

System name: Surveillance of Accidental Rubella Vaccination of Pregnant Women -- HEW/CDC/BSS.

Security classification: None.

System location:

Immunization Division, Building 1, Room 4054, CDC
Atlanta, GA 30333

Categories of individuals covered by the system: Women who were vaccinated against rubella immediately preceding pregnancy or accidentally vaccinated during pregnancy.

Categories of records in the system: Epidemiological and serological.

Authority for maintenance of the system: Public Health Service Act, Section 301, 361 (42 U.S.C. 244, 264).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual. Disclosure may be made to the Department of Justice or other appropriate Federal agencies in defending claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Departmental Regulations (45 CFR, part 5b) Appendix B, Item 100.) In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Filing cabinets.

Retrievability: The data are used in the form of statistical summaries to maintain surveillance on pregnant women who receive rubella vaccine; the identifiers are used to add additional or corrective data to the master file. Records are retrievable by identifying code number.

Safeguards: Routine office and building security.

Retention and disposal: Number years held at CDC: indefinitely.

System manager(s) and address:

Director
Bureau of State Services
Building 1, Room 2047, CDC
Atlanta, GA 30333

Notification procedure: To determine if a file exists, write the Director, Bureau of State Services, Building 1, Room 2047, Center for Disease Control, Atlanta, Georgia 30333, and provide the following information: (1) approximate date(s) and place of treatment or questionnaire administration, (2) name of study, if known; (3) an individual who requests notification of or access to a medical record shall, at the time the request is made, designate a responsible representative in writing who will be willing to review the record and inform the subject individual of its contents at the representative's discretion (these notification and access procedures are requirements of the Department Regulations, 45 CFR, Part 4.6, Federal Register, October 8, 1975, page 47411). A parent or guardian who requests notification of or access to a minor's record shall at the time the request is made designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The designee will receive the record in all cases and upon review will determine whether the record should be made available to the parent or guardian.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Part 5b.5(a)(2) Federal Register, October 8, 1975, page 47410).

Contesting record procedures: Write the Privacy Act Coordinator, Management Analysis Office, Center for Disease Control, Atlanta, Georgia 30333. Reasonably identify the record and specify the information to be contested in accordance with Department Regulations, Federal Register, October 8, 1975, page 47411 (45 CFR, Part 5.b.7).

Record source categories: Private Physicians.

Systems exempted from certain provisions of the act: None.

09-20-0088

System name: Subacute Sclerosing Panencephalitis Surveillance -- HEW/CDC/BSS.

Security classification: None.

System location:

Immunization Division
Building 1, Room 4054, CDC
Atlanta, GA 30333

Categories of individuals covered by the system: Patients with diagnosis of SSPE.

Categories of records in the system: Epidemiological and clinical histories.

Authority for maintenance of the system: Public Health Service Act, Section 301 (42 U.S.C. 241).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual. Disclosure may be made to the Department of Justice or other appropriate Federal agencies in defending claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Departmental Regulations (45 CFR, part 5b) Appendix B, Item 100.) In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Magnetic tape.

Retrievability: The data are used in the form of an aggregate summary to further define the epidemiology of the disease; the identifiers are used only to complete records as additional and corrective information becomes available. Records are retrievable by identifying code number.

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

Retention and disposal: Number years held at CDC: 10 years.

System manager(s) and address:

Director
Bureau of State Services
Building 1, Room 2047, CDC
Atlanta, GA 30333

Notification procedure: To determine if a file exists, write the Director, Bureau of State Services, Building 1, Room 2047, Center for Disease Control, Atlanta, Georgia 30333, and provide the following information: (1) approximate date(s) and place of treatment or questionnaire administration, (2) name of study, if known; (3) an individual who requests notification of or access to a medical record shall, at the time the request is made, designate a responsible representative in writing who will be willing to review the record and inform the subject individual of its contents at the representative's discretion (these notification and access procedures are requirements of the Department Regulations, 45 CFR, Part 4.6, Federal Register, October 8, 1975, page 47411). A parent or guardian who requests notification of or access to a minor's record shall at the time the request is made designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The designee will receive the record in all cases and upon review will determine whether the record should be made available to the parent or guardian.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Part 5b.5(a)(2) Federal Register, October 8, 1975, page 47410).

Contesting record procedures: Write the Privacy Act Coordinator, Management Analysis Office, Center for Disease Control, Atlanta,

Georgia 30333. Reasonably identify the record and specify the information to be contested in accordance with Department Regulations, Federal Register, October 8, 1975, page 47411 (45 CFR, Part 5.b.7).

Record source categories: Private physicians.

Systems exempted from certain provisions of the act: None.

09-20-0089

System name: Study of Short-course Chemotherapy of Pulmonary Tuberculosis -- HEW/CDC/BSS.

Security classification: None.

System location:

TB Control Division
Building 6, Room 211, CDC
Atlanta, GA 30333
and Regional Federal Records Center

Categories of individuals covered by the system: Selected patients with TB being treated by participating health departments, clinics, and hospitals.

Categories of records in the system: Medical records.

Authority for maintenance of the system: Public Health Service Act, Section 301 (42 U.S.C. 241)

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Records may be disclosed to Health Departments and other public health or cooperatin medical authorities. Research data are made available to approved or collaborating researchers, including HEW contractors and grantees. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual. Disclosure may be made to the Department of Justice or other appropriate Federal agencies in defending claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Departmental Regulations (45 CFR, part 5b) Appendix B, Item 100.) In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Card, file folders, and magnetic tape.

Retrievability: The purpose of the system is to determine the efficacy of self-administered rifampin and isoniazid, given daily for six months under close surveillance in selected patients with pulmonary tuberculosis. Data is used in statistical, aggregate form only. Study to commence approximately September 1975. Data retrievable by name and I.D. number.

Safeguards: Source documents and tapes of current projects are kept in locked building with security guards during non-business hours. For computerized records, safeguards, established in accordance with Department standards and National Bureau of Standards guidelines (e.g., security codes) will be used, limiting access to authorized personnel.

Retention and disposal: Transfer to Federal Records Center when no longer needed for evaluation and analysis. Destroy when 20 years old unless needed for further study. How destroyed: paper shredded or burned. Tape scratched.

System manager(s) and address:

Director
Bureau of State Services
Building 1, Room 2047, CDC
Atlanta, GA 30333

Notification procedure: To determine if a file exists, write the Director, Bureau of State Services, Building 1, Room 2047, Center for Disease Control, Atlanta, Georgia 30333, and provide the following information: (1) approximate date(s) and place of treatment or questionnaire administration, (2) name of study, if known; (3) an individual who requests notification of or access to a medical record shall, at the time the request is made, designate a responsible representative in writing who will be willing to review the record and inform the subject individual of its contents at the representative's discretion (these notification and access procedures are requirements of the Department Regulations, 45 CFR, Part 4.6, Federal Register, October 8, 1975, page 47411). A parent or guardian who requests notification of or access to a minor's record shall at the time the request is made designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The designee will receive the record in all cases and upon review will determine whether the record should be made available to the parent or guardian.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Part 5b.5(a)(2) Federal Register, October 8, 1975, page 47410).

Contesting record procedures: Write the Privacy Act Coordinator, Management Analysis Office, Center for Disease Control, Atlanta, Georgia 30333. Reasonably identify the record and specify the information to be contested in accordance with Department Regulations, Federal Register, October 8, 1975, page 47411 (45 CFR, Part 5.b.7).

Record source categories: Individuals, Local Health Departments, Hospitals, and Clinics.

Systems exempted from certain provisions of the act: None.

09-20-0090

System name: Study of Tuberculin Testing -- HEW/CDC/BSS.

Security classification: None.

System location:

TB Control Division
Building 6, Room 255, CDC
Atlanta, GA 30333
and Regional Federal Records Center

Categories of individuals covered by the system: Hospital Employees.

Categories of records in the system: Medical Records.

Authority for maintenance of the system: Public Health Service Act, Section 301 (42 U.S.C. 241).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Test results will be returned to the collaborating physician or responsible hospital official. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual. Disclosure may be made to the Department of Justice or other appropriate Federal agencies in defending claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Departmental Regulations (45 CFR, part 5b) Appendix B, Item 100.) In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Cards, file folders, and magnetic tape.

Retrievability: Statistical aggregate use. To study the 'Booster Effect', the phenomenon whereby the first tuberculin test in a series has a stimulating effect upon subsequent tuberculin tests. Records retrievable by name and I.D. number.

Safeguards: Source documents and tapes of current projects are kept in locked building with security guards during non-business hours. For computerized records, safeguards, established in ac-

cordance with Department standards and National Bureau of Standards guidelines (e.g., security codes) will be used, limiting access to authorized personnel.

Retention and disposal: Transfer to Federal Records Center when no longer needed for evaluation and analysis. Destroy when 20 years old unless needed for further study. How destroyed: Paper shredded or burned. Tape scratched.

System manager(s) and address:

Director
Bureau of State Services
Building 1, Room 2047, CDC
Atlanta, GA 30333

Notification procedure: To determine if a file exists, write the Director, Bureau of State Services, Building 1, Room 2047, Center for Disease Control, Atlanta, Georgia 30333, and provide the following information: (1) approximate date(s) and place of treatment or questionnaire administration, (2) name of study, if known; (3) an individual who requests notification of or access to a medical record shall, at the time the request is made, designate a responsible representative in writing who will be willing to review the record and inform the subject individual of its contents at the representative's discretion (these notification and access procedures are requirements of the Department Regulations, 45 CFR, Part 4.6, Federal Register, October 8, 1975, page 47411). A parent or guardian who requests notification of or access to a minor's record shall at the time the request is made designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The designee will receive the record in all cases and upon review will determine whether the record should be made available to the parent or guardian.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Part 5b.5(a)(2) Federal Register, October 8, 1975, page 47410).

Contesting record procedures: Write the Privacy Act Coordinator, Management Analysis Office, Center for Disease Control, Atlanta, Georgia 30333. Reasonably identify the record and specify the information to be contested in accordance with Department Regulations, Federal Register, October 8, 1975, page 47411 (45 CFR, Part 5.b.7).

Record source categories: Individuals and hospitals.

Systems exempted from certain provisions of the act: None.

09-20-0091

System name: Rifampin in Initial Treatment of Pulmonary Tuberculosis -- HEW/CDC/BSS.

Security classification: None.

System location:

TB Control Division
Building 6, Room 211,CDC
Atlanta, GA 30333
and Federal Records Center, East Point, GA.

Categories of individuals covered by the system: Tuberculosis hospital patients.

Categories of records in the system: Medical records.

Authority for maintenance of the system: Public Health Service Act, Section 301(42 U.S.C. 241).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Records may be disclosed to Health Departments and other public health or cooperating medical authorities. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual. Disclosure may be made to the Department of Justice or other appropriate Federal agencies in defending claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Departmental Regulations (45 CFR, part 5b) Appendix B, Item 100.) In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Cards, file folders, and magnetic tape.

Retrievability: Statistical aggregate use. To determine the effectiveness of rifampin in the initial treatment of pulmonary tuberculosis. Records are retrievable by name and I.D. number.

Safeguards: Source documents and tapes of current projects are kept in locked building with security guards during non-business hours. For computerized records, safeguards, established in accordance with Department standards and National Bureau of Standards guidelines (e.g., security codes) will be used, limiting access to authorized personnel.

Retention and disposal: Transfer to Federal Records Center when no longer needed for evaluation and analysis. Destroy when 20 years old unless needed for further study. How destroyed: paper shredded or burned. Tape scratched.

System manager(s) and address:

Director
Bureau of State Services
Building 1, Room 2047, CDC
Atlanta, GA 30333

Notification procedure: To determine if a file exists, write the Director, Bureau of State Services, Building 1, Room 2047, Center for Disease Control, Atlanta, Georgia 30333, and provide the following information: (1) approximate date(s) and place of treatment or questionnaire administration, (2) name of study, if known; (3) an individual who requests notification of or access to a medical record shall, at the time the request is made, designate a responsible representative in writing who will be willing to review the record and inform the subject individual of its contents at the representative's discretion (these notification and access procedures are requirements of the Department Regulations, 45 CFR, Part 4.6, Federal Register, October 8, 1975, page 47411). A parent or guardian who requests notification of or access to a minor's record shall at the time the request is made designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The designee will receive the record in all cases and upon review will determine whether the record should be made available to the parent or guardian.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Part 5b.5(a)(2) Federal Register, October 8, 1975, page 47410).

Contesting record procedures: Write the Privacy Act Coordinator, Management Analysis Office, Center for Disease Control, Atlanta, Georgia 30333. Reasonably identify the record and specify the information to be contested in accordance with Department Regulations, Federal Register, October 8, 1975, page 47411 (45 CFR, Part 5.b.7).

Record source categories: Individuals, Hospitals, and local Health Departments.

Systems exempted from certain provisions of the act: None.

09-20-0092

System name: Rifampin-Isoniazid in Initial Treatment of Pulmonary Tuberculosis -- HEW/CDC/BSS

Security classification: None.

System location:

TB Control Division
Building 6, Room 211, CDC
Atlanta, GA 30333
and Regional Federal Records Center

Categories of individuals covered by the system: Tuberculosis hospital and clinic patients.

Categories of records in the system: Medical records.

Authority for maintenance of the system: Public Health Service Act, Section 301(42 U.S.C. 241).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Records may be disclosed to Health Departments and other public health or cooperating medical authorities. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual. Disclosure may be made to the Department of Justice or other appropriate Federal agencies in defending claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Departmental Regulations (45 CFR, part 5b) Appendix B, Item 100.) In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Cards, file folders, and magnetic tape.

Retrievability: Statistical aggregate use. To determine the optimum dosage of rifampin in initial treatment of pulmonary tuberculosis, and to determine the optimum duration of treatment after bacteriologic conversion. Records are retrievable by name and I.D. number.

Safeguards: Source documents and tapes of current projects are kept in locked building with security guards during non-business hours. For computerized records, safeguards, established in accordance with Department standards and National Bureau of Standards guidelines (e.g., security codes) will be used, limiting access to authorized personnel.

Retention and disposal: Transfer to Federal Records Center when no longer needed for evaluation and analysis. Destroy when 20 years old unless needed for further study. How destroyed: paper shredded or burned. Tape scratched.

System manager(s) and address:

Director
Bureau of State Services
Building 1, Room 2047, CDC
Atlanta, GA 30333

Notification procedure: To determine if a file exists, write the Director, Bureau of State Services, Building 1, Room 2047, Center for Disease Control, Atlanta, Georgia 30333, and provide the following information: (1) approximate date(s) and place of treatment or questionnaire administration, (2) name of study, if known; (3) an individual who requests notification of or access to a medical record shall, at the time the request is made, designate a responsible representative in writing who will be willing to review the record and inform the subject individual of its contents at the representative's discretion (these notification and access procedures are requirements of the Department Regulations, 45 CFR, Part 4.6, Federal Register, October 8, 1975, page 47411). A parent or guardian who requests notification of or access to a minor's record shall at the time the request is made designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The designee will receive the record in all cases and upon review will determine whether the record should be made available to the parent or guardian.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Part 5b.5(a)(2) Federal Register, October 8, 1975, page 47410).

Contesting record procedures: Write the Privacy Act Coordinator, Management Analysis Office, Center for Disease Control, Atlanta, Georgia 30333. Reasonably identify the record and specify the information to be contested in accordance with Department Regulations, Federal Register, October 8, 1975, page 47411 (45 CFR, Part 5.b.7).

Record source categories: Individuals, Hospitals, Clinics, and local Health Departments.

Systems exempted from certain provisions of the act: None.

09-20-0093

System name: Tuberculosis Prophylaxis Studies - Alaska and Puerto Rico -- HEW/CDC/BSS.

Security classification: None.

System location:

TB Control Division, BSS
225 Eagle Street
Anchorage, Alaska 99501

819 27 So. Street
Las Lomas, Rio Piedras
Puerto Rico
and Alaska Activity, Bureau of Epidemiology
225 Eagle Street
Anchorage, Alaska 99501
and Regional Federal Records Center
TB Control Division, BSS,CDC
Building 6, Room 221
Atlanta, Georgia 30333

Categories of individuals covered by the system: Study participants.

Categories of records in the system: Medical records.

Authority for maintenance of the system: Public Health Service Act, Section 301(42 U.S.C. 241).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual. Disclosure may be made to the Department of Justice or other appropriate Federal agencies in defending claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Departmental Regulations (45 CFR, part 5b) Appendix B, Item 100.) In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Cards and file folders.

Retrievability: Statistical aggregate use. To determine the effectiveness and safety of isoniazid therapy in various population groups at high risk of developing tuberculosis. Records retrievable by name.

Safeguards: Source documents are kept in locked building with security guards during non-business hours. Data in Alaska is kept in a locked CDC facility during non-business hours.

Retention and disposal: Transfer to Federal Records Center when no longer needed for evaluation and analysis. Destroy when 20 years old unless needed for further study. How destroyed: shredded or burned.

System manager(s) and address:

Director
Bureau of State Services
Building 1, Room 2047, CDC
Atlanta, GA 30333

Notification procedure: To determine if a file exists, write the Director, Bureau of State Services, Building 1, Room 2047, Center for Disease Control, Atlanta, Georgia 30333, and provide the following information: (1) approximate date(s) and place of treatment or questionnaire administration, (2) name of study, if known; (3) an individual who requests notification of or access to a medical record shall, at the time the request is made, designate a responsible representative in writing who will be willing to review the record and inform the subject individual of its contents at the

representative's discretion (these notification and access procedures are requirements of the Department Regulations, 45 CFR, Part 4.6, Federal Register, October 8, 1975, page 47411). A parent or guardian who requests notification of or access to a minor's record shall at the time the request is made designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The designee will receive the record in all cases and upon review will determine whether the record should be made available to the parent or guardian.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Part 5b,5(a)(2) Federal Register, October 8, 1975, page 47410).

Contesting record procedures: Write the Privacy Act Coordinator, Management Analysis Office, Center for Disease Control, Atlanta, Georgia 30333. Reasonably identify the record and specify the information to be contested in accordance with Department Regulations, Federal Register, October 8, 1975, page 47411 (45 CFR, Part 5.b.7).

Record source categories: Participants and/or family members of participants.

Systems exempted from certain provisions of the act: None.

09-20-0094

System name: Tuberculosis Primary Drug Resistance Study -- HEW/CDC/BSS.

Security classification: None.

System location:

TB Control Division
Building 6, Rooms 249, 259 and 243, CDC
Atlanta, GA 30333
and Regional Federal Records Center.

Categories of individuals covered by the system: Health Department Patients.

Categories of records in the system: Medical records.

Authority for maintenance of the system: Public Health Service Act, Section 301(42, U.S.C. 241).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Records may be disclosed to Health Departments and other public health or cooperating medical authorities. Research data are made available to approved or collaborating researchers, including HEW contractors and grantees. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual. Disclosure may be made to the Department of Justice or other appropriate Federal agencies in defending claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Departmental Regulations (45 CFR, part 5b) Appendix B, Item 100.) In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: File folders and magnetic tape.

Retrievability: Statistical aggregate use. To determine over time if the trends in resistant tubercle bacilli organisms of newly diagnosed and previously untreated cases of tuberculosis are changing. Records are retrievable by I.D. number.

Safeguards: Source documents and tapes of current projects are kept in locked building with security guards during non-business hours. For computerized records, safeguards, established in accordance with Department standards and National Bureau of Standards guidelines (e.g., security codes) will be used, limiting access to authorized personnel.

Retention and disposal: Transfer to Federal Records Center when no longer needed for analysis and evaluation. Destroy when 20 years old unless needed for further study. How destroyed: paper shredded or burned. Tape scratched.

System manager(s) and address:

Director
Bureau of State Services
Building 1, Room 2047, CDC
Atlanta, GA 30333

Notification procedure: To determine if a file exists, write the Director, Bureau of State Services, Building 1, Room 2047, Center for Disease Control, Atlanta, Georgia 30333, and provide the following information: (1) approximate date(s) and place of treatment or questionnaire administration, (2) name of study, if known; (3) an individual who requests notification of or access to a medical record shall, at the time the request is made, designate a responsible representative in writing who will be willing to review the record and inform the subject individual of its contents at the representative's discretion (these notification and access procedures are requirements of the Department Regulations, 45 CFR, Part 4.6, Federal Register, October 8, 1975, page 47411). A parent or guardian who requests notification of or access to a minor's record shall at the time the request is made designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The designee will receive the record in all cases and upon review will determine whether the record should be made available to the parent or guardian.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Part 5b.5(a)(2) Federal Register, October 8, 1975, page 47410).

Contesting record procedures: Write the Privacy Act Coordinator, Management Analysis Office, Center for Disease Control, Atlanta, Georgia 30333. Reasonably identify the record and specify the information to be contested in accordance with Department Regulations, Federal Register, October 8, 1975, page 47411 (45 CFR, Part 5.b.7).

Record source categories: State and local Health Departments, and Laboratories.

Systems exempted from certain provisions of the act: None.

09-20-0095

System name: Zoster Immune Globulin Records on High Risk Immunosuppressed Children Exposed to Chickenpox -- HEW/CDC/BSS.

Security classification: None.

System location:

Immunization Division
Bldg. 1, Rm. 4054, CDC
Atlanta, GA 30333

Categories of individuals covered by the system: High risk immunosuppressed children who are exposed to chickenpox.

Categories of records in the system: Epidemiological and clinical histories.

Authority for maintenance of the system: Public Health Service Act, Section 301(42 U.S.C. 241).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual. Disclosure may be made to the Department of Justice or other appropriate Federal agencies in defending claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Departmental Regulations (45 CFR, part 5b) Appendix B, Item 100.) In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to ef-

fectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected. The Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggressing or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records. (Departmental Regulations (45 CFR, part 5b) Appendix B, Item 9).

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

Storage: Filing cabinets

Retrievability: These data are used in an aggregate form to determine the effectiveness of ZIG in the prevention or modification of chickenpox in high-risk immunosuppressed children; the identifiers are used to add additional and corrective data to the master file as it becomes available. Records are retrievable alphabetically by name.

Safeguards: Metal file cabinets; routine building security.

Retention and disposal: Number years held at CDC: indefinitely.

System manager(s) and address:

Director, BSS
Bldg. 1, Rm. 2047, CDC
Atlanta, GA 30333

Notification procedure: To determine if a file exists, write the Director, Bureau of State Services, Building 1, Room 2047, Center for Disease Control, Atlanta, Georgia 30333, and provide the following information: (1) approximate date(s) and place of treatment or questionnaire administration, (2) name of study, if known; (3)an individual who requests notification of or access to a medical record shall, at the time the request is made, designate a responsible representative in writing who will be willing to review the record and inform the subject individual of its contents at the representative's discretion (these notification and access procedures are requirements of the Department Regulations, 45 CFR, Part 4.6, Federal Register, October 8, 1975, page 47411). A parent or guardian who requests notification of or access to a minor's record shall at the time the request is made designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The designee will receive the record in all cases and upon review will determine whether the record should be made available to the parent or guardian.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Part 5b.5(a)(2) Federal Register, October 8, 1975, page 47410).

Contesting record procedures: Write the Privacy Act Coordinator, Management Analysis Office, Center for Disease Control, Atlanta, Georgia 30333. Reasonably identify the record and specify the information to be contested in accordance with Department Regulations, Federal Register, October 8, 1975, page 47411 (45 CFR, Part 5.b.7).

Record source categories: Private Physicians.

09-20-0096

System name: Tuskegee Study of Untreated Syphilis Medical Care Program -- HEW/CDC/BSS

Security classification: None.

System location:

Bureau of State Services
Bldg. 1, Room 2047, CDC
Atlanta, GA 30333

Categories of individuals covered by the system: Participants in the study, which began in the early 1930's.

Categories of records in the system: Medical records and related study data.

Authority for maintenance of the system: Public Health Service Act, Section 301 (42 U.S.C. 241).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to individuals and organizations deemed qualified by the Secretary to carry out specific research solely for the purpose of carrying out such research. Information may be furnished to courts of competent jurisdiction and to attorneys for legal purposes. Records may be disclosed to Health Departments and other public health or cooperating medical authorities. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual. Disclosure may be made to the Department of Justice or other appropriate Federal agencies in defending claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Departmental Regulations (45 CFR, part 5b) Appendix B, Item 100.) In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: File Folders.

Retrievability:

Information from the files is used by DHEW officials to:
1. Determine eligibility for medical care for those participants eligible for such services in accordance with DHEW policy;
2. Determine status of participants in litigation.

Records are retrievable alphabetically by name.

Safeguards: Records are kept in locked building with security guards during non-business hours. Access to management officials and staff who review and approve payments of medical costs.

Retention and disposal: Number of years held at CDC: indefinitely.

System manager(s) and address:

Director
Bureau of State Services
Bldg. 1, Rm 2047, CDC
Atlanta, Georgia 30333

Notification procedure: To determine if a file exists, write the Director, Bureau of State Services, Building 1, Room 2047, Center for Disease Control, Atlanta, Georgia 30333, and provide the following information: (1) approximate date(s) and place of treatment or questionnaire administration, (2) name of study, if known; (3)an individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Part 5b.5(a)(2) Federal Register, October 8, 1975, page 47410).

Contesting record procedures: Write the Privacy Act Coordinator, Management Analysis Office, Center for Disease Control, Atlanta, Georgia 30333. Reasonably identify the record and specify the information to be contested in accordance with Department Regulations, Federal Register, October 8, 1975, page 47411 (45 CFR, Part 5.b.7).

Record source categories: Participants and family members of participants entitled to medical care; Social Security Administration for Medicare information; and State Welfare Departments for information on Medicaid.

Systems exempted from certain provisions of the act: None.

09-20-0097

System name: Studies of the Effects of BCG Vaccinations for Tuberculosis. HEW/CDC/BSS.

Security classification: None.

System location:

TB Control Division
819 27 So. Street
Las Lomas, Rio Piedras, Puerto Rico
and

TB Control Division
Research & Development Branch
Bldg. 6 - Room 222, CDC
Atlanta, Georgia 30333
and
Program Control de Tuberculosis
Antiguo Hospital - San Patricio
Puerto Nuevo, Puerto Rico 00901

Categories of individuals covered by the system: Persons who received BCG vaccinations at county health clinics in Muscogee County, Georgia, and Russell County, Alabama, and the local public health clinic in Las Lomas, Rio Piedros, Puerto Rico.

Categories of records in the system: Medical Records.

Authority for maintenance of the system: Public Health Service Act, Section 301 (42 U.S.C. 241).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Records may be disclosed to Health Departments and other public health or cooperating medical authorities. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual. Disclosure may be made to the Department of Justice or other appropriate Federal agencies in defending claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Departmental Regulations (45 CFR, part 5b) Appendix B, Item 100.). Disclosure may be made to individuals and organizations deemed qualified by the Secretary to carry out specific research solely for the purpose of carrying out such research. (45 CFR, Part 5b) Appendix B Item (101). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Cards and file folders.

Retrievability: Statistical aggregate use. To test the effectiveness and safety of BCG vaccinations in reducing the incidence of tuberculosis in non-reactors to the tuberculin skin tests. Information from these records will be used by the National Cancer Institute to determine any relationship between BCG vaccination and cancer. Records are retrievable by name.

Safeguards: All data is kept in a building that is locked during non-business hours.

Retention and disposal: Transfer to Federal Records Center when no longer needed for evaluation and analysis. Destroy when 20 years old unless needed for further study. How destroyed: Shredded or burned.

System manager(s) and address:

Director
Bureau of State Services
Building 1, Room 2047, CDC
Atlanta, GA 30333

Notification procedure: To determine if a file exists, write the Director, Bureau of State Services, Building 1, Room 2047, Center for Disease Control, Atlanta, Georgia 30333, and provide the following information: (1) approximate date(s) and place of treatment or questionnaire administration, (2) name of study, if known; (3) an individual who requests notification of or access to a medical record shall, at the time the request is made, designate a responsible representative in writing who will be willing to review the record and inform the subject individual of its contents at the representative's discretion (these notification and access procedures are requirements of the Department Regulations, 45 CFR, Part 4.6, Federal Register, October 8, 1975, page 47411). A parent or guardian who requests notification of or access to a minor's record shall at the time the request is made designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The designee will receive the record in all cases and upon review will determine whether the record should be made available to the parent or guardian.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Part 5b.5(a)(2) Federal Register, October 8, 1975, page 47410).

Contesting record procedures: Write the Privacy Act Coordinator, Management Analysis Office, Center for Disease Control, Atlanta, Georgia 30333. Reasonably identify the record and specify the information to be contested in accordance with Department Regulations, Federal Register, October 8, 1975, page 47411 (45 CFR, Part 5.b.7).

Record source categories: Participants and family members of participants, Commonwealth of Puerto Rico.

Systems exempted from certain provisions of the act: None.

09-20-0098

System name: Congenital Rubella Registry -- HEW/CDC/BSS.

Security classification: None.

System location:

Immunization Division
Building 1, Room 4054, CDC
Atlanta, GA 30333

Categories of individuals covered by the system: Patients with diagnosis of rubella at birth.

Categories of records in the system: Epidemiological and clinical histories.

Authority for maintenance of the system: Public Health Service Act, Section 301 (42 U.S.C. 241).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual. Disclosure may be made to the Department of Justice or other appropriate Federal agencies in defending claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Departmental Regulations (45 CFR, part 5b) Appendix B, Item 100.) In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Filing cabinets.

Retrievability: The data are used in the form of aggregate summary to maintain surveillance on CRS and to identify changing trends of disease patterns resulting from rubella vaccine programs; the identifiers are used to add additional or corrective data to the master file as it becomes available. Records are retrievable by identifying code number.

Safeguards: Routine office and building security.

Retention and disposal: Number years held at CDC: indefinitely.

System manager(s) and address:

Director
Bureau of State Services
Building 1, Room No. 2047, CDC
Atlanta, GA 30333

Notification procedure: To determine if a file exists, write the Director, Bureau of State Services, Building 1, Room 2047, Center for Disease Control, Atlanta, Georgia 30333, and provide the following information: (1) approximate date(s) and place of treatment or questionnaire administration, (2) name of study, if known; (3) an individual who requests notification of or access to a medical

record shall, at the time the request is made, designate a responsible representative in writing who will be willing to review the record and inform the subject individual of its contents at the representative's discretion (these notification and access procedures are requirements of the Department Regulations, 45 CFR, Part 4.6, Federal Register, October 8, 1975, page 47411). A parent or guardian who requests notification of or access to a minor's record shall at the time the request is made designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The designee will receive the record in all cases and upon review will determine whether the record should be made available to the parent or guardian.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Part 5b.5(a)(2) Federal Register, October 8, 1975, page 47410).

Contesting record procedures: Write the Privacy Act Coordinator, Management Analysis Office, Center for Disease Control, Atlanta, Georgia 30333. Reasonably identify the record and specify the information to be contested in accordance with Department Regulations, Federal Register, October 8, 1975, page 47411 (45 CFR, Part 5.b.7).

Record source categories: Private Physicians.

Systems exempted from certain provisions of the act: None.

09-20-0102

System name: Alien Mental Waiver Program -- HEW/CDC/BE.

Security classification: None.

System location:

International Health Information and Visa Medical Activity
Quarantine Division, Building 6, Room 265
Atlanta, GA 30333
& Regional Federal Records Center

Categories of individuals covered by the system: Immigrant aliens with Mental Waivers.

Categories of records in the system: Medical history files (Forms I-601 Application for Waiver; FS-398 Medical Report).

Authority for maintenance of the system: Public Health Service Act Section 325 (42 U.S.C. 252); Immigration and Nationality Act Section 212(g) (8 U.S.C. 1182(g)).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Department of State (DOS) or Immigration and Naturalization Service (INS) obtains initial medical examinations and submits to Quarantine Division of CDC. Final diagnosis returned to submitter. Alien or sponsor furnishes copy of medical file to local health care facility in U.S. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual. Disclosure may be made to the Department of Justice or other appropriate Federal agencies in defending claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Departmental Regulations (45 CFR, part 5b) Appendix B, Item 100.) In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Individual file folders.

Retrievability: Aliens granted mental waivers by U.S. Department of State or the Immigration and Naturalization Service, are subject to up to five years of supervision upon entering the U.S. Initial and followup reports,are maintained in medical history file. Records are retrievable by name.

Safeguards: Only persons having access to files are Quarantine Division personnel. Files are maintained in that office in metal file cabinets. Any request for medical information in the case file must be made in writing, and signed by alien, parent, or sponsor.

Retention and disposal: Number years held at CDC: 5. Number years held at Federal Records Center before disposal: 5. How destroyed: Shredded and made into pulp.

System manager(s) and address:

Director
Bureau of Epidemiology
Room 5009, Bldg. 1, CDC
Atlanta, GA 30333

Notification procedure: To determine if a file exists, write the Director, Bureau of Epidemiology, Building 1, Room 5009, Center for Disease Control, Atlanta, Georgia 30333, and provide the following information: (1) approximate date(s) and place of treatment or questionnaire administration, (2) name of study, if known; (3) an individual who requests notification of or access to a medical record shall, at the time the request is made, designate a responsible representative in writing who will be willing to review the record and inform the subject individual of its contents at the representative's discretion (these notification and access procedures are requirements of the Department Regulations, 45 CFR, Part 4.6, Federal Register, October 8, 1975, page 47411). A parent or guardian who requests notification of or access to a minor's record shall at the time the request is made designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The designee will receive the record in all cases and upon review will determine whether the record should be made available to the parent or guardian.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Part 5b.5(a)(2) Federal Register, October 8, 1975, page 47410).

Contesting record procedures: Write the Privacy Act Coordinator, Management Analysis Office, Center for Disease Control, Atlanta, Georgia 30333. Reasonably identify the record and specify the information to be contested in accordance with Department Regulations, Federal Register, October 8, 1975, page 47411 (45 CFR, Part 5.b.7).

Record source categories: Prior to alien's arrival in the U.S., medical information is submitted by Department of State and/or Justice Department (INS); after arrival, medical reports submitted by medical specialists, schools, or institutions.

Systems exempted from certain provisions of the act: None.

09-20-0103

System name: Alien Tuberculosis Follow-up Program -- HEW/CDC/BE.

Security classification: None.

System location:

International Health Information and Visa Medical Activity
Quarantine Division, Building 6, Room 265
Atlanta, GA 30333

Categories of individuals covered by the system: Immigrant Aliens with Tuberculosis.

Categories of records in the system: Medical history. (Forms CDC 4.451 and CDC 4.447).

Authority for maintenance of the system: Public Health Service Act Section 325 (42 U.S.C 252); Immigration and Nationality Act Section 212(g)(8 U.S.C. 1182(g)).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Statistical data may be used for Tuberculosis Conferences, meetings or publications. Form CDC 4.451, 'Report on Alien with Tuberculosis Waiver,' and form CDC 4.447 'Report on Alien with Tuberculosis not considered active' are distributed from port of entry in the United States to: the alien, local health department, State health department, the physician or health facility that will provide the medical care, and to the Quarantine Division of CDC. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual. Disclosure may be made to the Department of Justice or other appropriate Federal agencies in defending claims against the United States when the claim is based upon an individual's mental

or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Departmental Regulations (45 CFR, part 5b) Appendix B, Item 100.) In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Card file.

Retrievability: Purpose is to provide medical care. Retrievable alphabetically, and by week of arrival.

Safeguards: Only persons having access to files are staff members of Quarantine Division, and Tuberculosis Control Division. Files are stored in metal file cabinets.

Retention and disposal: Number months held at CDC: 3. How destroyed: shredded.

System manager(s) and address:

Director, Bureau of Epidemiology
Room 5009, Bldg. 1, CDC
Atlanta, GA 30333

Notification procedure: To determine if a file exists, write the Director, Bureau of Epidemiology, Building 1, Room 5009, Center for Disease Control, Atlanta, Georgia 30333, and provide the following information: (1) approximate date(s) and place of treatment or questionnaire administration, (2) name of study, if known; (3) an individual who requests notification of or access to a medical record shall, at the time the request is made, designate a responsible representative in writing who will be willing to review the record and inform the subject individual of its contents at the representative's discretion (these notification and access procedures are requirements of the Department Regulations, 45 CFR, Part 4.6, Federal Register, October 8, 1975, page 47411). A parent or guardian who requests notification of or access to a minor's record shall at the time the request is made designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The designee will receive the record in all cases and upon review will determine whether the record should be made available to the parent or guardian.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Part 5b.5(a)(2) Federal Register, October 8, 1975, page 47410).

Contesting record procedures: Write the Privacy Act Coordinator, Management Analysis Office, Center for Disease Control, Atlanta, Georgia 30333. Reasonably identify the record and specify the information to be contested in accordance with Department Regulations, Federal Register, October 8, 1975, page 47411 (45 CFR, Part 5.b.7).

Record source categories: Information obtained from alien's visa medical documents at port of entry by Quarantine Inspectors.

Systems exempted from certain provisions of the act: None.

09-20-0106

System name: Microbiology Specimen Handling for Testing and Related Data -- HEW/CDC/BL.

Security classification: None.

System location:

Bureau of Laboratories, Scientific Services
Bldg. 4 - Room 35, CDC
Atlanta, GA 30333

Categories of individuals covered by the system: Patients whose specimens have been submitted to CDC for testing.

Categories of records in the system: Diagnostic test results.

Authority for maintenance of the system: Public Health Service Act, Section 301(42 U.S.C. 241).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Return of test results to the submitting physician. Records may be disclosed to Health Departments and other public health or cooperating medical authorities. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual. Disclosure may be made to the Department of Justice or other appropriate Federal agencies in defending claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Departmental Regulations (45 CFR, part 5b) Appendix B, Item 100.) In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Original Form - file folders; microfilm copies - computer storage.

Retrievability: Used between specialty units for research purposes; and for epidemiological investigations for epidemic causes, prevention, family groupings of diseases, and geographical location of specific diseases; also, used by epidemiologists and researchers in determining drug resistance of specific organisms. Retrievable by: name or designated number furnished by the submitter, CDC identifying number, microfilm number.

Safeguards: Restrictive use of the terminal; without knowledge of computer access codes, no one can obtain specific patient information. Microfilm is stored in locked cabinet. For computerized records, safeguards, established in accordance with Department standards and National Bureau of Standards guidelines (e.g., security codes) will be used, limiting access to authorized personnel.

Retention and disposal: Number years held at CDC: 5. How destroyed: Shredded or burned.

System manager(s) and address:

Director
Bureau of Laboratories
Bldg. 1 - Room 1007, CDC
Atlanta, GA 30333

Notification procedure: To determine if a file exists, write the Director, Bureau of Laboratories, Building 1, Room 1007, Center for Disease Control, Atlanta, Georgia 30333, and provide the following information: (1) approximate date(s) and place of treatment or questionnaire administration, (2) name of study, if known; (3) an individual who requests notification of or access to a medical record shall, at the time the request is made, designate a responsible representative in writing who will be willing to review the record and inform the subject individual of its contents at the representative's discretion (these notification and access procedures are requirements of the Department Regulations, 45 CFR, Part 4.6, Federal Register, October 8, 1975, page 47411). A parent or guardian who requests notification of or access to a minor's record shall at the time the request is made designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The designee will receive the record in all cases and upon review will determine whether the record should be made available to the parent or guardian.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Part 5b.5(a)(2) Federal Register, October 8, 1975, page 47410).

Contesting record procedures: Write the Privacy Act Coordinator, Management Analysis Office, Center for Disease Control, Atlanta, Georgia 30333. Reasonably identify the record and specify the information to be contested in accordance with Department Regulations, Federal Register, October 8, 1975, page 47411 (45 CFR, Part 5.b.7).

Record source categories: Approved Public Health Laboratories, Federal Medical Facilities, some private physicians.

Systems exempted from certain provisions of the act: None.

09-20-0107

System name: Dengue and Schistosomiasis Research Studies -- HEW/CDC/BL.

Security classification: None.

System location:

San Juan Laboratories
San Juan, Puerto Rico

Categories of individuals covered by the system: Individuals living in Puerto Rico.

Categories of records in the system: Demographic and health behavioral information on individuals in study community.

Authority for maintenance of the system: Public Health Service Act, Section 301(42 U.S.C. 241).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information transferred to Puerto Rico Health Department. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual. Disclosure may be made to the Department of Justice or other appropriate Federal agencies in defending claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Departmental Regulations (45 CFR, part 5b) Appendix B, Item 100.) In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: IBM punch cards and computer listings.

Retrievability: Epidemiological studies for the evaluation of schistosomiasis and dengue control. Special statistical analyses are performed on information. Retrievable by code number.

Safeguards: Under lock and key - only researchers have availability. For computerized records, safeguards, established in accordance with Department standards and National Bureau of Standards guidelines (e.g., security codes) will be used, limiting access to authorized personnel.

Retention and disposal: Number years held at CDC: 10 years.

System manager(s) and address:

Director
Bureau of Laboratories
Building 1, Room 1007
San Juan Laboratories
San Juan, Puerto Rico

Notification procedure: To determine if a file exists, write the Director, Bureau of Laboratories, Building 1, Room 1007, Center for Disease Control, Atlanta, Georgia 30333, and provide the following information: (1) approximate date(s) and place of treatment or questionnaire administration, (2) name of study, if known; (3) an individual who requests notification of or access to a medical record shall, at the time the request is made, designate a responsible representative in writing who will be willing to review the record and inform the subject individual of its contents at the representative's discretion (these notification and access procedures are requirements of the Department Regulations, 45 CFR, Part 4.6, Federal Register, October 8, 1975, page 47411). A parent or guardian who requests notification of or access to a minor's record shall at the time the request is made designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The designee will receive the record in all cases and upon review will determine whether the record should be made available to the parent or guardian.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Part 5b.5(a)(2) Federal Register, October 8, 1975, page 47410).

Contesting record procedures: Write the Privacy Act Coordinator, Management Analysis Office, Center for Disease Control, Atlanta, Georgia 30333. Reasonably identify the record and specify the information to be contested in accordance with Department Regulations, Federal Register, October 8, 1975, page 47411 (45 CFR, Part 5.b.7).

Record source categories: Directly from participants in the studies.

Systems exempted from certain provisions of the act: None.

09-20-0108

System name: Diagnosis Program for Detection of Chromosomal Abnormalities in High Risk Patients -- HEW/CDC/BL.

Security classification: None.

System location:

Bureau of Laboratories Pathology Division
Building 1, Room 2303, CDC
Atlanta, GA 30333
and Regional Federal Records Center

Categories of individuals covered by the system: Referred patients.

Categories of records in the system: Cytogenetic and clinical data.

Authority for maintenance of the system: Public Health Service Act, Section 301(42 U.S.C. 241).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Results referred to patients' physician. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual. Disclosure may be made to the Department of Justice or other appropriate Federal agencies in defending claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Departmental Regulations (45 CFR, part 5b) Appendix B, Item 100.) In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: File cabinet.

Retrievability: To provide cytogenetic services, used as source of training and quality control. Used by BL/Pathology Div. and Bureau of Epidemiology. Records are retrievable alphabetically and by lab number.

Safeguards: Locked cabinets.

Retention and disposal: Number years held at CDC: 5. Number years held at Federal Records Center before disposal: 10. How destroyed: Shredded or burned.

System manager(s) and address:

Director
Bureau of Laboratories
Bldg. 1, Room 1007, CDC
Atlanta, GA. 30333

Notification procedure: To determine if a file exists, write the Director, Bureau of Laboratories, Building 1, Room 1007, Center for Disease Control, Atlanta, Georgia 30333, and provide the following information: (1) approximate date(s) and place of treatment or questionnaire administration, (2) name of study, if known; (3) an individual who requests notification of or access to a medical record shall, at the time the request is made, designate a responsible representative in writing who will be willing to review the record and inform the subject individual of its contents at the

representative's discretion (these notification and access procedures are requirements of the Department Regulations, 45 CFR, Part 4.6, Federal Register, October 8, 1975, page 47411). A parent or guardian who requests notification of or access to a minor's record shall at the time the request is made designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The designee will receive the record in all cases and upon review will determine whether the record should be made available to the parent or guardian.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Part 5b.5(a)(2) Federal Register, October 8, 1975, page 47410).

Contesting record procedures: Write the Privacy Act Coordinator, Management Analysis Office, Center for Disease Control, Atlanta, Georgia 30333. Reasonably identify the record and specify the information to be contested in accordance with Department Regulations, Federal Register, October 8, 1975, page 47411 (45 CFR, Part 5.b.7).

Record source categories: Directly from patient's physician.

Systems exempted from certain provisions of the act: None.

09-20-0109

System name: Coronary Drug Project Files -- HEW/CDC/BL.

Security classification: None.

System location:

Clinical Chemistry Division
Building 1, Rm. 1225
and Computer Systems Branch
Building 1, Rm. 6066, CDC
Atlanta, GA 30333
and Regional Federal Records System

Categories of individuals covered by the system: Coronary Drug Project Patients.

Categories of records in the system: Clinical Chemistry Test Data From Coronary Drug Project Patients.

Authority for maintenance of the system: Public Health Service Act, Section 301, 412(42 U.S.C. 241, 287a).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual. Disclosure may be made to the Department of Justice or other appropriate Federal agencies in defending claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Departmental Regulations (45 CFR, part 5b) Appendix B, Item 100.) In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Computer magnetic tape, punched cards, and hard copy. Specimen entry cards.

Retrievability: (1) Internal file reviews for verification of test data; (2) quality control studies; (3) statistical analyses of data related to risk, drug treatment, study endpoints, etc. Purposes: research in quality control, improvement of health care, management of heart patients, improvement of clinical laboratory science, and primary study objectives. Users: authorized persons from Center for Disease Control of National Heart and Lung Institute associated with the Coronary Drug Project. Retrieved by numeric identifier and patient's initials.

Safeguards: Only persons trained and experienced in the workings of the Coronary Drug Project system can use the system. Only authorized persons are allowed complete access. All name containing records are in long-term storage at the East Point Records Center. For computerized records, safeguards, established in accordance with Department standards and National Bureau of Standards guidelines (e.g., security codes) will be used, limiting access to authorized personnel.

Retention and disposal: Number years held at CDC: duration of study. Number years held at Federal Records Center before disposal: 10 (reviewed at 10 yrs.). How destroyed: fire or shredder.

System manager(s) and address:

Director
Bureau of Laboratories
Building 1, Room 1007, CDC
Atlanta, GA 30333

Notification procedure: To determine if a file exists, write the Director, Bureau of Laboratories, Building 1, Room 1007, Center for Disease Control, Atlanta, Georgia 30333, and provide the following information: (1) approximate date(s) and place of treatment or questionnaire administration, (2) name of study, if known; (3) an individual who requests notification of or access to a medical record shall, at the time the request is made, designate a responsible representative in writing who will be willing to review the record and inform the subject individual of its contents at the representative's discretion (these notification and access procedures are requirements of the Department Regulations, 45 CFR, Part 4.6, Federal Register, October 8, 1975, page 47411). A parent or guardian who requests notification of or access to a minor's record shall at the time the request is made designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The designee will receive the record in all cases and upon review will determine whether the record should be made available to the parent or guardian.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Part 5b.5(a)(2) Federal Register, October 8, 1975, page 47410).

Contesting record procedures: Write the Privacy Act Coordinator, Management Analysis Office, Center for Disease Control, Atlanta, Georgia 30333. Reasonably identify the record and specify the information to be contested in accordance with Department Regulations, Federal Register, October 8, 1975, page 47411 (45 CFR, Part 5.b.7).

Record source categories: (1) Information from 53 CDP Clinical Centers pertaining to the patient's blood and urine specimens, and (2) laboratory (CDC) generated chemical test data.

Systems exempted from certain provisions of the act: None.

09-20-0110

System name: Clinical Associates Roster -- HEW/CDC/BSS.

Security classification: None.

System location:

TB Control Division
Building 1, Room 3013
CDC
Atlanta, Ga. 30333

Categories of individuals covered by the system: Clinical associates.

Categories of records in the system: Academic, professional, and locating data.

Authority for maintenance of the system: Public Health Service Act, Section 301(42 U.S.C. 241).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively

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

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

Storage: File folders.

Retrievability: List is maintained as a source group of tuberculosis experts. Retrievable by name.

Safeguards: Source documents are kept in file cabinets in locked building with security guards during non-business hours. For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines (e.g. security codes) will be used, limiting access to authorized personnel.

Retention and disposal: Number years held at CDC: 20. How destroyed: Shredded or burned.

System manager(s) and address:

Director
Bureau of State Services
Building 1, Room 2047
CDC
Atlanta, Ga. 30333

Notification procedure: To determine if a file exists, write the Director, Bureau of State Services, Building 1, Room 2047, Center for Disease Control, Atlanta, Georgia 30333, and provide the following information: (1) approximate date(s) and place of treatment or questionnaire administration, (2) name of study, if known; (3) an individual who requests notification of or access to a medical record shall, at the time the request is made, designate a responsible representative in writing who will be willing to review the record and inform the subject individual of its contents at the representative's discretion (these notification and access procedures are requirements of the Department Regulations, 45 CFR, Part 4.6, Federal Register, October 8, 1975, page 47411). A parent or guardian who requests notification of or access to a minor's record shall at the time the request is made designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The designee will receive the record in all cases and upon review will determine whether the record should be made available to the parent or guardian.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Part 5b.5(a)(2) Federal Register, October 8, 1975, page 47410).

Contesting record procedures: Write the Privacy Act Coordinator, Management Analysis Office, Center for Disease Control, Atlanta, Georgia 30333. Reasonably identify the record and specify the information to be contested in accordance with Department Regulations, Federal Register, October 8, 1975, page 47411 (45 CFR, Part 5.b.7).

Record source categories: Individuals.

Systems exempted from certain provisions of the act: None.

09-20-0111

System name: Machinists Exposed to Cutting Oil Mist 1938-1967 -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Department of Occupational & Environmental Health
School of Medicine
Wayne State University
Detroit, Michigan

Parklawn Bldg.
5600 Fishers Lane
Rockville, Maryland 20857

Division of Computer Research & Technology
National Institutes of Health
Building 12
Bethesda, Maryland

Categories of individuals covered by the system: Male machinists employed between 1938 and 1967 in an industrial plant in Michigan.

Categories of records in the system: Pulmonary function test results, medical histories, employment histories, and demographic data.

Authority for maintenance of the system: Public Health Service Act, Section 301(42 U.S.C. 241).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Coding Sheets, Computer Cards, Pulmonary Function Graphs, Computer Listings, Computer Tape, and Computer Disk.

Retrievability: The purpose of this system is to investigate the health effect associated with exposure to cutting oil mists. Name and study number are the indexes used to retrieve records from this system.

Safeguards:

Guard Service in building
Locked building; locked rooms
Personnel screening
Locked file cabinets
Locked computer room and computer tape vaults For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding paper materials.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents

being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual, and from plant employment and medical records.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0112

System name: CDC Exchange Visitor and Guest Researcher Records -- HEW/CDC/OAM.

Security classification: None.

System location:

CDC, Personnel Management Office
Commissioned Corps & Fellow Program Section
Bldg. 1, Room 1042, CDC
Atlanta, GA 30333

Categories of individuals covered by the system:

Visiting Fellows
Visiting Associates
Visiting Scientists
Staff Fellows
Guest Researchers

Categories of records in the system: Applications, request for appointment, bibliography, curriculum vitae, letters of reference.

Authority for maintenance of the system: Public Health Service Act Section 207(g),(h), 208 and 301 (42 U.S.C. 209(g),(h), 210 and 301).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual. Disclosure may be made to the Department of Justice or other appropriate Federal agencies in defending claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Departmental Regulations (45 CFR, part 5b) Appendix B, Item 100.) In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: File cabinet.

Retrievability: This system is utilized by Center officials for the purpose of review of applications and supporting documents in order to award fellowships; and for the determinations regarding salary or stipend increase. The system is accessed by name of the individual, exchange visitor or guest researcher.

Safeguards: Files are kept in locked file room.

Retention and disposal: Number years held at CDC: 2. How destroyed: shredded or burned.

System manager(s) and address:

Director, Personnel Management Office
Commissioned Corps & Fellow Program
Bldg. 1, Room 1042, CDC
Atlanta, GA. 30333

Notification procedure: To determine if a file exists, write the Director, Personnel Management Office, Building 1, Room 1042, Center for Disease Control, Atlanta, Georgia 30333, and provide the following information: (1) approximate date(s) and place of treatment or questionnaire administration, (2) name of study, if known; (3) an individual who requests notification of or access to a medical record shall, at the time the request is made, designate a responsible representative in writing who will be willing to review the record and inform the subject individual of its contents at the representative's discretion (these notification and access procedures are requirements of the Department Regulations, 45 CFR, Part 4.6, Federal Register, October 8, 1975, page 47411). A parent or guardian who requests notification of or access to a minor's record shall at the time the request is made designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The designee will receive the record in all cases and upon review will determine whether the record should be made available to the parent or guardian.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Part 5b.5(a)(2) Federal Register, October 8, 1975, page 47410).

Contesting record procedures: Write the Privacy Act Coordinator, Management Analysis Office, Center for Disease Control, Atlanta, Georgia 30333. Reasonably identify the record and specify the information to be contested in accordance with Department Regulations, Federal Register, October 8, 1975, page 47411 (45 CFR, Part 5.b.7).

Record source categories: Secured from applicant.

Systems exempted from certain provisions of the act: None.

09-20-0113

System name: Epidemic Investigation Case Records -- HEW/CDC/BE.

Security classification: None.

System location:

Bureau of Epidemiology/CDC
Rockville, Maryland 20857

Categories of individuals covered by the system: Patients with disease, their contacts, others with possible exposure and appropriate controls.

Categories of records in the system: Medical histories, case reports, line listings, hand sort cards.

Authority for maintenance of the system: Public Health Service Act, Section 301, 361(42 U.S.C. 241, 264).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records are considered to be the records of State and/or local health departments and are left with them at the end of the investigations. These health departments may then identify persons with disease and/or others contacted during the investigations to control, prevent, or treat disease, or for follow-up evaluation including collection of appropriate bodily specimens. CDC may or may not request duplicate copies of

these records for further analysis following completion of the field investigation. Private physicians may also be supplied pertinent medical information from these records. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual. Disclosure may be made to the Department of Justice or other appropriate Federal agencies in defending claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Departmental Regulations (45 CFR, part 5b) Appendix B, Item 100.) In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: File folders.

Retrievability: Collection of individual case histories, including epidemiological, medical and laboratory information is essential in virtually all epidemic field investigations. These data serve as the basis for all analyses that lead to understanding the etiology of disease occurrence and subsequent prevention and control. Retrievable alphabetically by name.

Safeguards: Information is in files available only to medical epidemiologists, their clerical help, or their specifically designated paramedical personnel and only for duration of the investigation.

Retention and disposal: No. years held at CDC - 2. No. years held at FRC - 5. How destroyed - Burned.

System manager(s) and address:

Director
Bureau of Epidemiology
Bldg 1, Rm 5009, CDC
Atlanta, Georgia 30333
and
Director, Bureau of State Services
Building 1, Room 2047, CDC
Atlanta,Georgia 30333

Notification procedure: To determine if a file exists, write the Director, Bureau of Epidemiology, Building 1, Room 5009, or Director, Bureau of State Services, Building 1, Room 2047, Center for Disease Control, Atlanta, Georgia 30333, and provide the following information: (1) approximate date(s) and place of treatment or questionnaire administration, (2) name of study, if known; (3) an individual who requests notification of or access to a medical record shall, at the time the request is made, designate a responsible representative in writing who will be willing to review the record and inform the subject individual of its contents at the representative's discretion (these notification and access procedures are requirements of the Department Regulations, 45 CFR, Part 4.6, Federal Register, October 8, 1975, page 47411). A parent or guardian who requests notification of or access to a minor's record shall at the time the request is made designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The designee will receive the record in all cases and upon review will determine whether the record should be made available to the parent or guardian.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Part 5b.5(a)(2) Federal Register, October 8, 1975, page 47410).

Contesting record procedures: Write the Privacy Act Coordinator, Management Analysis Office, Center for Disease Control, Atlanta, Georgia 30333. Reasonably identify the record and specify the information to be contested in accordance with Department Regulations, Federal Register, October 8, 1975, page 47411 (45 CFR, Part 5.b.7).

Record source categories: Patients, state and local health departments, and private physicians.

Systems exempted from certain provisions of the act: None.

Systems exempted from certain provisions of the act: None.

09-20-0114

System name: Supervisory effects on worker safety in the roofing industry -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Respiratory Disease Studies, NIOSH
944 Chestnut Ridge Road
Morgantown, West Virginia 26505

Management Sciences Company
724 Ninth St.
San Pedro, California

2 Embarcadero Center (2775)
San Francisco, California

Categories of individuals covered by the system: Workers in the roofing industry.

Categories of records in the system: Occupational history, demographic data, attitudinal questionnaires.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20 (29 U.S.C. 669)

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manual files, computer cards, computer tapes, computer listings.

Retrievability: The main purpose of this system is to provide information to recommend policies to improve the safety of workers in the roofing industry. Name and case number are the indexes used to retrieve records from this system.

Safeguards:

Evening guard service in building
Locked building; locked rooms
Personnel screening
Locked computer room and computer tape vaults
Locked file cabinets For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Personal identifiers will be removed from the file at the end of the study, as only statistical summaries are needed. Computer tapes are erased; paper records are shredded or burned.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual.

Systems exempted from certain provisions of the act: None.

09-20-0115

System name: Study of Noise and Hearing in Paper Working Industry -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Biomedical and Behavioral Science, NIOSH
Robert A. Taft Laboratories
4676 Columbia Parkway
Cincinnati, Ohio 45226

Categories of individuals covered by the system: Paper workers in Ohio.

Categories of records in the system: Occupational history, medical history, results of medical tests, demographic data.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20 (29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manual files, computer cards, computer tapes, computer listings.

Retrievability: The purpose of this system is to develop composite data to support the creation of standards to improve safety and health conditions in the workplace. Name and case number are the indexes used to retrieve records from this system.

Safeguards:

Evening guard service in building
Locked building; locked rooms
Personnel screening
Locked computer room and computer tape vaults
Locked file cabinets For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: This information will be kept for about four years. Computer tapes are erased; paper records are shredded or burned.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual and from employee records.

Systems exempted from certain provisions of the act: None.

09-20-0116

System name: Study of workers exposed to heavy metals (lead, cadmium, etc.) -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Surveillance, Hazard Evaluations, and Field Studies, NIOSH
5555 Ridge Avenue
Cincinnati, Ohio 45213

Categories of individuals covered by the system: Employees exposed to heavy metals at various industrial plants.

Categories of records in the system: Occupational histories, medical histories, demographic data, results of medical tests.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20 (29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manual files, microfilm, microfiche, computer tape.

Retrievability: The purpose of this system is to determine the cause and prevention of occupationally-related diseases. Name and assigned number are the indexes used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked computer room and computer tape vaults
Locked file cabinets
Computer tapes are password protected For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding paper materials.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual. Vital status information is obtained from Federal, State, and Local governments and other available sources. Other information is obtained from employer records.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0117

System name: Medical and test record results of individuals involved in NIOSH laboratory studies -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Biomedical and Behavioral Sciences
Robert A. Taft Laboratories
4676 Columbia Parkway
Cincinnati, Ohio 45226

Categories of individuals covered by the system: Volunteer subjects from the general population.

Categories of records in the system: Occupational history, medical history, results of medical tests, demographic data.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20 (29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manual files, computer cards, computer tapes, computer listings, microfilm.

Retrievability: The purpose of this system is to develop composite data summaries to support the development of criteria for occupational safety and health standards, and to provide other recommendations for improving worker safety and health. Name and case number are the indexes used to retrieve records from this system.

Safeguards:

Evening guard service in building
Locked building; locked rooms
Personnel screening
Locked computer room and computer tape vaults
Locked file cabinets For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Personal identifiers are destroyed as soon as they are no longer necessary for the protection of the individuals involved. Computer tapes are erased; paper records are shredded or burned.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the

time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual.

Systems exempted from certain provisions of the act: None.

09-20-0118

System name: Study at work-sites where agents suspected of being occupational hazards exist -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Biomedical and Behavioral Science, NIOSH
Robert A. Taft Laboratories
4676 Columbia Parkway
Cincinnati, Ohio 45226

Categories of individuals covered by the system: Volunteer subjects employed at specific sites under study.

Categories of records in the system: Occupational history, medical history, results of medical tests, demographic data, employee records.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20 (29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manual files, computer cards, computer tapes, computer listings, microfilm.

Retrievability: The purpose of this system is to determine the relationship between worker exposure to hazardous agents or stressors, and occupational disease. This information will be used to recommend procedures to reduce the incidence of occupational disease. Name and case number are the indexes used to retrieve records from this system.

Safeguards:

Evening guard service in building
Locked building; locked rooms
Personnel screening
Locked computer room and computer tape vaults
Locked file cabinets For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Personal identifiers are destroyed as soon as the system has stabilized, and statistical summaries can be run. Computer tapes are erased; paper records are shredded or burned.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual and from employee records.

Systems exempted from certain provisions of the act: None.

09-20-0119

System name: Mortality and morbidity study among oil shale workers -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Respiratory Disease Studies, NIOSH
944 Chestnut Ridge Road
Morgantown, West Virginia 26505

Categories of individuals covered by the system: U.S. Bureau of Mines employees from 1948 to 1956 in Rifle, Colorado; employees at five oil companies in Rifle, Colorado between 1966 and 1969; employees in retort process at Bureau of Mines in Laramie, Wyoming.

Categories of records in the system: Occupational and medical histories, demographic data, results of medical tests.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20 (29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is oc-

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

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

Storage: Manual files, computer cards, computer tapes, computer listings.

Retrievability: The purpose of this system is to determine the cause and prevention of occupationally-related diseases. NIOSH. Name and case number are the indexes used to retrieve records from this system.

Safeguards:

Locked building; locked rooms
Personnel screening
Locked computer room and computer tape vaults
Locked file cabinets For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding paper materials.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20852

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual and from employer records.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0120

System name: Equipment field test studies -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Physical Sciences and Engineering, NIOSH
5555 Ridge Avenue
Cincinnati, Ohio 45213

Division of Biomedical and Behavioral Science, NIOSH
Robert A. Taft Laboratories
4676 Columbia Parkway
Cincinnati, Ohio 45226

Categories of individuals covered by the system: Volunteer subjects.

Categories of records in the system: Medical history, results of medical tests, demographic data, individual's description of his experience with the equipment.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20 (29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manual files.

Retrievability: The purpose of this study is to determine the suitability of particular pieces of personal protective equipment in the hazards of the workplace. Name and case number are the indexes used to retrieve records from this system.

Safeguards:

Evening guard service in building
Locked building; locked rooms
Personnel screening
Locked file cabinets For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: All personal identifiers are destroyed at the end of the study (which takes approximately one year). Paper records are shredded or burned.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual.

Systems exempted from certain provisions of the act: None.

09-20-0122

System name: Study of workers exposed to inorganic chemicals -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Surveillance, Hazard Evaluations, and Field Studies, NIOSH
5555 Ridge Avenue
Cincinnati, Ohio 45213

Categories of individuals covered by the system: Employees exposed to inorganic chemicals at various industrial plants.

Categories of records in the system: Occupational histories, medical histories, demographic data, results of medical tests.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20 (29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manual files, microfilm, microfiche, computer tape.

Retrievability: The purpose of this system is to determine the cause and prevention of occupationally-related diseases. Name and assigned number are the indexes used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked computer room and computer tape vaults
Locked file cabinets
Computer tapes are password protected For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding paper materials.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual. Vital status information is obtained from Federal, State, and Local governments and other available sources. Other information is obtained from employer records.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies

Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0123

System name: Study of workers exposed to airborne carcinogens in woodworking shops -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Surveillance, Hazard Evaluations, and Field Studies, NIOSH
5555 Ridge Avenue
Cincinnati, Ohio 45213

Categories of individuals covered by the system: Wood workers exposed to sawdust and other wood shop environments.

Categories of records in the system: Occupational and medical histories, demographic data, results of medical tests.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20 (29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manual files, computer cards, computer tapes, computer listings.

Retrievability: The purpose of this system is to determine the cause and prevention of occupationally-related diseases. Name and case number are the indexes used to retrieve records from this system.

Safeguards:

Locked building; locked rooms
Personnel screening
Locked computer room and computer tape vaults
Locked file cabinets For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding paper materials.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual and from employer records.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0124

System name: Study of workers exposed to toluene diisocyanate (TDI) -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Respiratory Disease Studies
944 Chestnut Ridge Road
Morgantown, West Virginia 26505

Categories of individuals covered by the system: Male volunteers at the Olin Chemical Company at Lake Charles, Louisiana.

Categories of records in the system: Occupational history, medical history, results of medical tests, demographic data, employee records.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20 (29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in

response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manual files, computer cards, computer tapes, computer listings, microfilm.

Retrievability: The purpose of this system is to determine the effect of TDI exposure in the workplace. This information will be used in the development of an occupational standard for TDI exposure. Name and case number are the indexes used to retrieve records from this system.

Safeguards:

Evening guard service in building
Locked building; locked rooms
Personnel screening
Locked computer room and computer tape vaults
Locked file cabinets
Computer tapes are password protected For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Personal identifiers will be retained only as long as needed to protect the individuals exposed, or as required by statute or regulation. Computer tapes are erased; paper records are shredded or burned.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers, Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual and from employee records.

Systems exempted from certain provisions of the act: None.

09-20-0126

System name: Study of workers exposed to organic chemicals -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Surveillance, Hazard Evaluations, and Field Studies, NIOSH
5555 Ridge Avenue
Cincinnati, Ohio 45213

Categories of individuals covered by the system: Employees exposed to organic chemicals at various industrial plants.

Categories of records in the system: Occupational histories, medical histories, demographic data, results of medical tests.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20 (29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manual files, microfilm, microfiche, computer tape.

Retrievability: The purpose of this system is to determine the cause and prevention of occupationally-related diseases. Name and assigned number are the indexes used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked computer room and computer tape vaults
Locked file cabinets
Computer tapes are password protected authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal include erasing computer tapes and burning or shredding materials.

System manager(s) and address:

Director,
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05

Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual. Vital status information is obtained from Federal, State, and Local governments and other available sources. Other information is obtained from employer records.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0127

System name: Pilot agricultural noise study -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Respiratory Disease Studies, NIOSH
944 Chestnut Ridge Road
Morgantown, West Virginia 26505

Categories of individuals covered by the system: 100 tractor operators at several locations, and 100 individuals from the general population between 40 and 50 years old.

Categories of records in the system: Occupational and medical histories, demographic data, results of medical tests.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20 (29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manual files, computer cards, computer tapes, computer listings.

Retrievability: The purpose of this system is to determine the cause and prevention of occupationally-related diseases. Name and case number are the indexes used to retrieve records from this system.

Safeguards:

Locked building; locked rooms
Personnel screening
Locked computer room and computer tape vaults
Locked file cabinets. For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding paper materials.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. - Room 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual.

Systems exempted from certain provisions of the act: None.

09-20-0128

System name: Mortality study of Tennessee Valley Authority (TVA) workers exposed to coal handling processes -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Respiratory Disease Studies, NIOSH
944 Chestnut Ridge Road
Morgantown, West Virginia
Medical Division of TVA

Ednuy Building
Chattanooga, Tennessee

Categories of individuals covered by the system: TVA workers exposed to coal handling processes from 1955 to 1965.

Categories of records in the system: Occupational histories, medical histories, medical records obtained with individual's permission.

Authority for maintenance of the system: Coal Mine Health and Safety Act Section 501 (30 U.S.C. 951).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Data may be sent to Medical Division, Tennessee Valley Authority, in line with an Inter-Agency Agreement, to State Vital Statistics Divisions to obtain death certificates, and to Missing Person Location Agencies to find those individuals who cannot otherwise be located. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manual files, computer cards, computer tapes, computer listings.

Retrievability: The purpose of this system is to determine the mortality of individuals exposed to coal handling processes. (Most of the information comes from TVA). Name and code number are the indexes used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked computer room and computer tape vaults
Locked file cabinets For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: All personal identifiers will be destroyed by June, 1977, when the system is stabilized and statistical summaries can be run. Disposal methods include the erasing of computer tape and the burning or shredding of paper materials.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual, from Tennessee Valley Authority records, and from certificates of death.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0129

System name: Health effects study of dust and diesel exhaust on non-coal underground miners -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Respiratory Disease Studies, NIOSH
944 Chestnut Ridge Road
Morgantown, West Virginia 26505

Categories of individuals covered by the system: Metal and nonmetal underground miners (excluding coal miners).

Categories of records in the system: Medical histories, occupational histories, demographic data, results of medical tests.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20 (29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a

determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manual files, X-rays, microfilm, computer tapes, computer cards, computer listings.

Retrievability: The purpose of this system is to conduct occupational respiratory research leading to the establishment of rules governing exposure to diesel exhaust. Name and case number are the indexes used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked computer room and computer tape vaults
Locked file cabinets
Computer tapes are password protected For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Records will be retained for a period not to exceed 30 years. Disposal methods include the erasing of computer tapes and the burning or shredding of paper materials.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual and from employer records.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0130

System name: Study of workers exposed to mineral fibers -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Surveillance, Hazard Evaluations, and Field Studies, NIOSH
5555 Ridge Avenue
Cincinnati, Ohio 45213

Categories of individuals covered by the system: Employees exposed to mineral fibers at various industrial plants.

Categories of records in the system: Occupational histories, medical histories, demographic data, results of medical tests.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20 (29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manual files, microfilm, microfiche, computer tape.

Retrievability: The purpose of this system is to determine the cause and prevention of occupationally-related diseases. Name and assigned number are the indexes used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms

Personnel screening
Locked computer room and computer tape vaults
Locked file cabinets
Computer tapes are password protected For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding paper materials.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual. Vital status information is obtained from Federal, State, and Local governments and other available sources. Other information is obtained from employer records.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0131

System name: Study of health hazards in animal confinement housing -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Surveillance, Hazard Evaluations, and Field Studies, NIOSH
555 Ridge Avenue
Cincinnati, Ohio 45213
Salt Lake City, Utah 84108

Categories of individuals covered by the system: Persons working in settings where many animals are confined.

Categories of records in the system: Occupational and medical histories, demographic data, results of medical tests.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20 (29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manual files, computer cards, computer tapes, computer listings.

Retrievability: The purpose of this system is to determine the cause and prevention of occupationally-related diseases. Name and case number are the indexes used to retrieve records from this system.

Safeguards:

Locked building; locked rooms
Personnel screening
Locked computer room and computer tape vaults
Locked file cabinets For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding paper materials.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg - Room 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05

Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0132

System name: Early warning indicators of pesticides exposure -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Biomedical and Behavioral Sciences, NIOSH
Robert A. Taft Laboratories
4676 Columbia Parkway
Cincinnati, Ohio 45226

Categories of individuals covered by the system: Pesticides formulators.

Categories of records in the system: Occupational and medical histories, demographic data, results of medical tests, eye/hand coordination test results, attitudinal data.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20 (29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manual files, computer cards, computer tapes, computer listings.

Retrievability: The purpose of this system is to determine the cause and prevention of occupationally-related diseases. Name and case number are the indexes used to retrieve records from this system.

Safeguards:

Locked building; locked rooms
Personnel screening
Locked computer room and computer tape vaults
Locked file cabinets For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding paper materials.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual and from employer records.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0133

System name: Alaska pipeline cold stress study -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Biomedical and Behavioral Science, NIOSH
Robert A. Taft Laboratories
4676 Columbia Parkway
Cincinnati, Ohio 45226

Categories of individuals covered by the system: Persons exposed to cold weather working directly on the Alaska pipeline.

Categories of records in the system: Occupational and medical histories, demographic data, results of medical tests.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20 (29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal agencies in defending claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual (45 CFR Part 5B, Appendix B, Item 100) Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manual files, computer cards, computer tapes, computer listings.

Retrievability: The purpose of this system is to determine the cause and prevention of occupationally-related diseases. Name and case number are the indexes used to retrieve records from this system.

Safeguards:

Locked building; locked rooms
Personnel screening
Locked computer room and computer tape vaults
Locked file cabinets For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding paper materials.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained directly from the individual and from employer records.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0134

System name: Byssinosis Study -- HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Respiratory Disease Studies, NIOSH
944 Chestnut Ridge Road
Morgantown, West Virginia 26505

Categories of individuals covered by the system: Employees at cotton textile mills and a sample of people from the general population.

Categories of records in the system: Medical histories, occupational histories, results of medical tests.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20 (29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Records may be released to the Department of Justice or other appropriate Federal agencies in defending claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual (45 CFR Part 5B, Appendix B, Item 100) Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manual files, computer tape, computer cards, computer listings.

Retrievability: The purpose of this system is to conduct research in occupational respiratory disease. Name and case numbers are the indexes used to retrieve records from this system.

Safeguards:

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked computer room and computer tape vaults
Locked file cabinets For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, limiting access to authorized personnel.

Retention and disposal: This information will be retained for approximately seventeen years. Disposal methods include erasing computer tape and burning or shredding paper materials.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg., Rm. 8-05
Rockville, Maryland 20857

Notification procedure:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: The information is obtained directly from the individual.

Systems exempted from certain provisions of the act: None.

APPENDIX I Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services,
Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0136

System name: Epidemiologic Studies and Surveillance of Special Disease Problems - HEW/CDC/BE

Security classification: None.

System location:

Bureau of Epidemiology
Center for Disease Control
Bldg. 1 - Room 5009
Atlanta, Georgia 30333

Categories of individuals covered by the system: Individuals with reported diseases and other preventable conditions of public health significance; also included are control group participants.

Categories of records in the system: Case reports, line listings, hand sort cards

Authority for maintenance of the system: Public Health Service Act, Sec. 301 (42 U.S.C. 241)

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Records may be disclosed to Health Departments and other public health or cooperating medical authorities. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual. Disclosure may be made to the Department of Justice or other appropriate Federal agencies in defending claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Departmental Regulations (45 CFR, part 5b) Appendix B, Item 100.) In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United

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

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

Storage: Computer tapes or file folders, lockable cabinets.

Retrievability: By name of individual identification number.

Safeguards: Personnel screening during working hours; secured building with guard after working hours.

Retention and disposal: Record copy of study reports maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed by program official. Personal identifiers may be deleted from records when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate.

System manager(s) and address:

Director, Bureau of Epidemiology
Center for Disease Control
Bldg. 1 - Room 5009
Atlanta, Georgia 30333

Notification procedure: To determine if a file exists, write the Director, Bureau of Epidemiology, Building 1, Room 5009, Center for Disease Control, Atlanta, Georgia 30333, and provide the following information: (1) approximate date(s) and place of treatment or questionnaire administration; (2) name of study if known; (3) an individual who requests notification of or access to a medical record shall, at the time the request is made, designate a responsible representative in writing who will be willing to review the record and inform the subject individual of its contents at the representative's discretion (these notification and access procedures are requirements of the Department regulations, 45 CFR, Part 5b.6, Federal Register, October 8, 1975, page 47411).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Individuals, private physicians, State and local health departments. and other health providers.

Systems exempted from certain provisions of the act: None.

09-20-0137

System name: Passport file -- HEW/CDC/FMO.

Security classification: None.

System location:

Financial Management Office
PFy Building, Room 210, CDC

Categories of individuals covered by the system: CDC employees.

Categories of records in the system: Status of passports.

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

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

Storage: File folders.

Retrievability: To show status of passports of CDC employees who travel to foreign countries on official business. Retrievable by name.

Safeguards: Accessible to Financial Management Office personnel. File is in custody of designated employee.

Retention and disposal: Number years held at CDC: 5. How destroyed: Shredded.

System manager(s) and address:

Director
Financial Management Office
PFy Building, Room 200, CDC
Atlanta, GA 30333

Notification procedure: To determine if a file exists, write the Director, Financial Management Office, PFy Building, Room 200, Center for Disease Control, Atlanta, Georgia 30333, and provide the following information: (1) approximate date(s) and place of treatment or questionnaire administration, (2) name of study, if known; (3) an individual who requests notification of or access to a medical record shall, at the time the request is made, designate a responsible representative in writing who will be willing to review the record and inform the subject individual of its contents at the representative's discretion (these notification and access procedures are requirements of the Department Regulations, 45 CFR, Part 4.6, Federal Register, October 8, 1975, page 47411). A parent or guardian who requests notification of or access to a minor's record shall at the time the request is made designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The designee will receive the record in all cases and upon review will determine whether the record should be made available to the parent or guardian.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Part 5b.5(a)(2) Federal Register; October 8, 1975, page 47410).

Contesting record procedures: Write the Privacy Act Coordinator, Management Analysis Office, Center for Disease Control, Atlanta, Georgia 30333. Reasonably identify the record and specify the information to be contested in accordance with Department Regulations, Federal Register, October 8, 1975, page 47411 (45 CFR, Part 5.b.7).

Record source categories: CDC employees.

Systems exempted from certain provisions of the act: None.

09-20-0138

System name: Epidemic Intelligence Service Officers Files -- HEW/CDC/BE.

Security classification: None.

System location:

Bureau of Epidemiology
OD, Bldg. 1, Rm. 5014 (1967 to present), CDC
Atlanta, GA 30333
and Regional Federal Records Center (1954-1966)

Categories of individuals covered by the system: EIS Officers - Current, alumni & rejected applicants.

Categories of records in the system: Applications, interview materials, letters of recommendations, call to duty papers.

Authority for maintenance of the system: Public Health Service Act Sections 203,207(42 U.S.C. 204 and 209).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively

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

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

Storage: File cabinets & records center

Retrievability: Used by Bureau personnel to write letters of recommendation for future employment; reference letters, and maintaining professional contact with these individuals. Retrievable by name.

Safeguards: Locked door.

Retention and disposal: Number years held at CDC: 10. Number years held at Federal Records Center before disposal: 10. How destroyed: shredding.

System manager(s) and address:

Director
Bureau of Epidemiology
Bldg. 1, Rm. 5009, CDC
Atlanta, GA 30333

Notification procedure: To determine if a file exists, write the Director, Bureau of Epidemiology, Building 1, Room 5009, Center for Disease Control, Atlanta, Georgia 30333, and provide the following information: (1) approximate date(s) and place of treatment or questionnaire administration, (2) name of study, if known; (3) an individual who requests notification of or access to a medical record shall, at the time the request is made, designate a responsible representative in writing who will be willing to review the record and inform the subject individual of its contents at the representative's discretion (these notification and access procedures are requirements of the Department Regulations, 45 CFR, Part 4.6, Federal Register, October 8, 1975, page 47411). A parent or guardian who requests notification of or access to a minor's record shall at the time the request is made designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The designee will receive the record in all cases and upon review will determine whether the record should be made available to the parent or guardian.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Part 5b.5(a)(2) Federal Register, October 8, 1975, page 47410).

Contesting record procedures: Write the Privacy Act Coordinator, Management Analysis Office, Center for Disease Control, Atlanta, Georgia 30333. Reasonably identify the record and specify the information to be contested in accordance with Department Regulations, Federal Register, October 8, 1975, page 47411 (45 CFR, Part 5.b.7).

Record source categories: Educational institutions, previous employers.

Systems exempted from certain provisions of the act: None.

09-20-0139

System name: Respiratory Disease Studies Involving Persons of West Virginia Coal Mining Communities HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Respiratory Disease Studies, NIOSH
944 Chestnut Ridge Road
Morgantown, West Virginia 26505
and
Ian T. Higgins, M.D.
School of Public Health
Dept. Epidemiology
University of Michigan
109 Observatory Street
Ann Arbor, MI 48104

Categories of individuals covered by the system: Miners, non-miners, wives of miners, and wives of non-miners living in Richwood, Mullens, and Marion Counties, West Virginia.

Categories of records in the system: Medical, occupational, and smoking histories; results of medical tests; demographic data.

Authority for maintenance of the system: Federal Coal Mine Health and Safety Act, Section 501 (30 U.S.C. 951).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. To the Department of Justice or other appropriate Federal agencies in defending claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual (Appendix B of HEW Regulation, 45 C.F.R., part 5b, item 100). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: File folders, computer tape, computer discs, computer cards, computer printouts.

Retrievability: The purpose of this system is to perform medical and epidemiological research and statistical analysis on the respiratory disease of coal miners and other workers in coal mining communities in West Virginia. The data is retrieved by name or case number.

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

24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked computer room and computer tape vaults
Locked file cabinets
Computer tapes are password protected.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding printouts or paper forms.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. - Room 8-05
Rockville, Maryland 20857

Notification procedure: To determine if a file exists, write the Director, National Institute for Occupational Safety and Health, 5600 Fishers Lane, Parklawn Bldg. Rm. 8-05, Rockville, Maryland 20857, and provide the following information: (1) approximate date(s) and place of treatment or questionnaire administration, (2) name of study, if known; (3) an individual who requests notification of or access to a medical record shall, at the time the request is made, designate a responsible representative in writing who will be willing to review the record and inform the subject individual of its contents at the representative's discretion (these notification and access procedures are in accordance with Department Regulations, 45 C.F.R., Part 5b.6, Federal Register, October 8, 1975, page 47411).

Record access procedures: Same as notification procedure. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Write the Director, National Institute for Occupational Safety and Health, 5600 Fishers Lane, Parklawn Bldg., Rm. 8-05, Rockville, Maryland 20857. Reasonably identify the record and specify the information to be contested in accordance with Department Regulations, Federal Register, October 8, 1975, page 47411 (45 C.F.R., Part 5b.7).

Record source categories: Information is obtained directly from individuals.

Systems exempted from certain provisions of the act: None.

09-20-0140

System name: Medical Records of Vinyl Chloride and Carcinogen Workers--HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Surveillance
Hazard Evaluations, and Field Studies
National Institute for Occupational Safety and Health
U.S. Post Office and Courthouse
5th and Walnut, Cincinnati, Ohio 45202

Categories of individuals covered by the system: Workers who are exposed to vinyl chloride and other carcinogens.

Categories of records in the system: Occupational histories, medical histories, demographic data, results of medical tests.

Authority for maintenance of the system: Occupational Safety and Health Act, Section 20 (29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Records may be released to the Department of Justice or other appropriate Federal agencies in defending claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual (45 CFR Part 5B, Appendix B, Item 100). Portions of a record pertaining to an indivdual may also be disclosed to a Congressional office in response to an inquiry from that office made at the request of that individual. Portions of records (name, social security number, date of birth, and last known address) may be disclosed to Federal, state, and local agencies, and to other sources, solely for determining whether or not an individual has died. This is done in order to obtain death certificates to determine cause of death for the purpose of occupational health research (i.e. to determine if there is occupationally related excess mortality). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Locked file cabinets, microfilm, computer tapes, computer disks, computer printouts, file folders.

Retrievability: The purpose of this system is to determine the cause and prevention of disease of industrial origin. Name is the identifier which is used to retrieve records from this system.

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

Retention and disposal: This information will be kep indefinitely, because it takes cancers a long time to develop, and because there may be other cancerous substances discovered in the future. Any data which is disposed of will be shredded (paper records), or computer tapes will be erased.

System manager(s) and address: Director, National Institute for Occupational Safety and Health, 5600 Fishers Lane, Parklawn Bldg., Rm. 8-05, Rockville, MD 20857

Notification procedure: To determine if a file exists, write the:

Director,
National Institute for Occupational
Safety and Health,
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05,
Rockville, Maryland 20857 and provide the following information: (1) approximate date(s) and place of treatment or questionnaire administration (2) name of study if known; (3) an individual who requests notification of or access to a medical record shall, at the time the request is made, designate a responsible representative in writing who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are requirements of the Department regulations, 45 CFR, Part 5b.6, Federal Register, October 8, 1975, page 47411).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Write the:

Director,
National Institute for Occupational
Safety and Health,
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05,
Rockville, Maryland 20857 Reasonably identify the record and specify the information to be contested in accordance with Department regulations, Federal Register, October 8, 1975, page 47411 (45 CFR Part 5b7).

Record source categories: Information is obtained directly from the individual and from employee records.

Systems exempted from certain provisions of the act: None.

09-20-0141

System name: Coal Handlers' Study--HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Respiratory Disease Studies
National Institute for Occupational Safety and Health
944 Chestnut Ridge Road
Morgantown, WV 26505

Categories of individuals covered by the system: Volunteers for the study who are employed as coal handlers.

Categories of records in the system: Occupational histories, medical histories, results of medical tests and chest X-rays, and spirometry test results.

Authority for maintenance of the system: Coal Mine Health and Safety Act, Sec. 501 (30 U.S.C. 951).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: 1. Records may be released to the Department of Justice or other appropriate Federal agencies in defending claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual (45 CFR Part 5B, Appendix B, Item 100).

2. Records may be disclosed to a Congressional office in response to an inquiry from that office made at the request of that individual..

3. Certain infectious diseases will be reported to state and local governments, if required by state and local law. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: File folders, computer tapes, computer disks, microfilm, computer printouts.

Retrievability: Name or case number are the identifiers used to retrieve a record from this system. The purpose of this system of records is to evaluate the medical effects of environmental exposure to coal dust in a non-mining group of coal handlers.

Safeguards: 24-hour guard service in building. Locked building; locked rooms. Personnel screening. Locked computer room and computer tape vaults. Locked file cabinets. Computer tapes are password protected. For computerized records, safeguards are established in accordance with Departmental standards and National Bureau of Standards guidelines, e.g., security codes will be used limiting access to authorized personnel.

Retention and disposal: Seventy-two years. Records are shredded, erased, or burned.

System manager(s) and address: Director, National Institute for Occupational Safety and Health, 5600 Fishers Lane, Parklawn Bldg. Room 8-05, Rockville, Maryland 20857

Notification procedure: To determine if a file exists, write the

Director,
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857

and provide the following information: (1) approximate date(s) and place of treatment or questionnaire administration; (2) name of study if known; (3) an individual who requests notification of or access to a medical record shall, at the time the request is made, designate a responsible representative in writing who will be willing to review the record and inform the subject individual of its contents at the representative's discretion (these notification and access procedures are requirements of the Department regulations, 45 CFR, Part 5b.6, Federal Register, October 8, 1975, page 47411).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Write the:

Director,
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. Rm. 8-05
Rockville, Maryland 20857

Reasonably identify the record and specify the information to be contested in accordance with Department regulations, Federal Register, October 8, 1975, page 47411 (45 CFR Part 5b7).

Record source categories: Information is obtained directly from the individual.

Systems exempted from certain provisions of the act: None.

09-20-0142

System name: Medical Health Surveillance of Grain Handlers--HEW/CDC/NIOSH.

Security classification: None.

System location: A system of records will be maintained by the principal investigator(s) or the respondent institution(s) awarded contract. Duplicate copies of records will also be maintained at the Division of Respiratory Disease Studies NIOSH, 944 Chestnut Ridge Road, Morgantown, WV 26505.

Categories of individuals covered by the system: Multiple samples of workers in the grain industry and selected control subjects chosen from the general population.

Categories of records in the system: Occupational and medical histories, demographic data, results of medical tests.

Authority for maintenance of the system: Occupational Safety and Health Act, Section 20 (29 USC 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Records may be released to the Department of Justice or other appropriate Federal agencies in defending claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual (45 CFR Part 5B, Appendix B, Item 100). Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Disclosure may be made to officials and employees of local and state governments and agencies in the performance of their official duties pursuant to the laws and regulations governing control of communicable diseases and other public health programs. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Report form, computer tape or disks, computer cards, computer printouts, medical research questionnaire and permission forms, and file folders.

Retrievability: The main purpose is to conduct a medical health surveillance on workers in the industrial environment(s) of grain handlers. This system will primarily be maintained by the contractor(s) with indirect supervision by the National Institute for Occupational Safety and Health (NIOSH). Name and identifier code numbers are the indexes used to retrieve records from this system. As an addendum to the final report(s) of the study said contractor(s) shall provide the Division of Respiratory Disease Studies (DRDS) with a copy of all data obtained on each participant with sufficient identification (personal identifiers) to permit DRDS to contact the participant if such contact is in the further research interests of DRDS.

Safeguards: The records are maintained in locked cabinets with access limited to authorized personnel (system manager, principal investigator and his staff assigned to the project, project officer, contracting officer). For computerized records, safeguards are established in accordance with Departmental standards and National Bureau of Standards guidelines, e.g., security codes will be used limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Records are shredded, burned, or erased.

System manager(s) and address:

Director, National Institute for Occupational Safety and Health
5600 Fishers Lane
Parklawn Building, Room 8-05
Rockville, Maryland 20857

Notification procedure: To determine if a file exists, write the Director, National Institute for Occupational Safety and Health, 5600 Fishers Lane, Parklawn Bldg. Rm. 8-05, Rockville, Maryland 20857, and provide the following information: (1) Approximate date(s) and place of treatment or questionnaire administration (2) Name of study if known; (3) An individual who requests notification of or access to a medical record shall, at the time the request is made, designate a responsible representative in writing who will be willing to review the record and inform the subject individual of its contents at the representative's discretion (these notification and access procedures are requirements of the Department regulations, 45 CFR, Part 5b.6, Federal Register, October 8, 1975, page 47411).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Write the Director, National Institute for Occupational Safety and Health, 5600 Fishers Lane, Parklawn Bldg., Rm. 8-05, Rockville, Maryland 20857. Reasonably identify the record and specify the information to be contested in accordance with Department regulations, Federal Register, October 8, 1975, page 47411 (45 CFR Part 5b.7).

Record source categories: Information is obtained directly from the individual participants in the study and employee records.

Systems exempted from certain provisions of the act: None.

09-20-0143

System name: Occupational Hearing Loss in Coal Mining Regions - HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Biomedical and Behavioral Science
National Institute for Occupational Safety and Health
1014 Broadway
Cincinnati, Ohio 45202

Categories of individuals covered by the system: Coal Miners and volunteer subjects used as a control group.

Categories of records in the system: Occupational histories, medical histories, results of hearing tests, related anamnestic inforatmion, demographic data.

Authority for maintenance of the system: Federal Coal Mine Safety and Health Act (30 U.S.C. 669 Section 20 (1970)) and Occupational Safety and Health Act, Sec. 20 (29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Records may be released to the Department of Justice or other appropriate Federal agencies in defending claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual (45 CFR Part 5B, Appendix B, Item 100). Portions of a record pertaining to an individual may also be disclosed to a Congressional office in response to an inquiry from that office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manual file folders, computer cards, computer tape.

Retrievability: The purpose of this system is to assist in the development of health and safety standards for the workplace. Name is the identifier used to retrieve records from this system.

Safeguards: Locked building, locked rooms, personnel screening, locked computer room, locked file cabinets. For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines (e.g. security codes) will be used, limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. For those records which are destroyed, disposal methods include burning or shredding of paper materials and the erasing of computer tape.

System manager(s) and address:

Director, National Institute for Occupational Safety and Health,
5600 Fishers Lane, Room 8-05 Parklawn Building
Rockville, Md. 20857

Notification procedure: To determine if a file exists, write the Director, National Institute for Occupational Safety and Health, 5600 Fishers Lane, Parklawn Bldg. Rm. 8-05, Rockville, Maryland 20857, and provide the following information: (1) approximate date(s) and place of treatment or questionnaire administration; (2) name of study if known; (3) an individual who requests notification of or access to a medical record shall, at the time the request is made, designate a responsible representative in writing who will be willing to review the record and inform the subject individual of its contents at the representative's discretion (these notification and access procedures are requirements of the Department regulations, 45 CFR, Part 5b.6, Federal Register, October 8, 1975, page 47411).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Write the Director, National Institute for Occupational Safety and Health, 5600 Fishers Lane, Parklawn Bldg., Rm. 8-05, Rockville, Maryland 20857. Reasonably identify the record and specify the information to be contested in accordance with Department regulations, Federal Register, October 8, 1975, page 47411 (45 CFR Part 5b7).

Record source categories: Information is obtained directly from the individual, although in some cases supplementary data may be collected or verified by work supervisors or employee records.

Systems exempted from certain provisions of the act: None.

09-20-0144

System name: Mortality of Pesticide Formulators--HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Surveillance, Hazard Evaluations, and Field Studies
National Institute for Occupational Safety and Health
U.S. Post Office and Courthouse
5th and Walnut
Cincinnati, Ohio 45202

Categories of individuals covered by the system: 20,000 individuals who have been employed as pesticide formulators for a minimum of 12 months from 1940 to the present.

Categories of records in the system: Occupational and medical histories, demographic data.

Authority for maintenance of the system: Occupational Safety and Health Act, Section 20 (U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: 1. Records may be released to the Department of Justice or other appropriate Federal agencies in defending claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual (45 CFR Part 5B, Appendix B, Item 100).

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

3. Portions of records (usually name, date of birth, last known address, and social security number) may be disclosed to Federal, state, and local authorities, and to other sources capable of locating individuals, solely for the purpose of following individuals in the study and obtaining death certificates of those who have died. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manual files, computer cards, computer tapes, computer listings.

Retrievability: The purpose of this system is to determine the cause, and therefore, lead toward future prevention of occupationally related diseases. Name and case number are the identifiers used to retrieve records from this system.

Safeguards: The records are maintained in locked cabinets with access limited to authorized personnel (system manager, principal investigator and his staff assigned to the project, project officer, contracting officer). For computerized records, safeguards are established in accordance with Departmental standards and National Bureau of Standards guidelines, e.g., security codes will be usded limiting access to authorized personnel.

Retention and disposal: Records are scheduled for destruction ten years following completion of the study. Disposal methods include erasing computer tapes and burning or shredding paper materials.

System manager(s) and address:

Director, National Institute for Occupational Safety and Health
5600 Fishers Lane, Room 8-05
Parklawn Building
Rockville, Maryland 20857.

Notification procedure: To determine if a file exists, write the Director, National Institute for Occupational Safety and Health, 5600 Fishers Lane, Parklawn Bldg. Rm. 8-05, Rockville, Maryland 20857, and provide the following information: (1) approximate date(s) and place of treatment or questionnaire administration; (2) name of study if known; (3) an individual who requests notification of or access to a medical record shall, at the time the request is made, designate a responsible representative in writing who will be willing to review the record and inform the subject individual of its contents at the representative's discretion (these notification and access procedures are requirements of the Department regulations, 45 CFR, Part 5b.6, Federal Register, October 8, 1975, page 47411).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Write the Director, National Institute for Occupational Safety and Health, 5600 Fishers Lane, Parklawn Bldg., Rm. 8-05, Rockville, Maryland 20857. Reasonably identify the record and specify the information to be contested in accordance with Department regulations, Federal Register, October 3, 1975, page 47411 (45 CFR Part 5b7).

Record source categories: Information is obtained from pesticide formulatng companies as well as individual employees and their relatives.

Systems exempted from certain provisions of the act: None.

09-20-0145

System name: Pulmonary Function Standards Study--HEW/CDC/NIOSH.

Security classification: None.

System location:

Division of Respiratory Disease Studies
944 Chestnut Ridge Road
Morgantown, West Virginia 26505

Categories of individuals covered by the system: 2000 Non-exposed to any harmful or potentially harmful dust, gases or fumes, Blue Collar Workers in North Carolina.

Categories of records in the system: Descriptive data, medical, smoking, and work histories, x-ray and pulmonary function data.

Authority for maintenance of the system: Occupational Safety and Heatlh Act, Section 20 (29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Records may be released to the Department of Justice or other appropriate Federal agencies in defending claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual (45 CFR Part 5B, Appendix B, Item 100). Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manual files, computer tapes, computer listings.

Retrievability: The purpose of this system is to provide a comparison for other studies. Name, case number, and social security number (if provided voluntarily) are the indexes used to retrieve records from this system.

Safeguards:

Locked building; locked rooms.
Security guard.
Locked computer room and computer tape cabinets.

Retention and disposal: Records are kept for five years and either the personal identifiers are removed or the tapes are erased and manual files shredded or burned.

System manager(s) and address:

Director, National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Bldg. - Rm. 8-05
Rockville, Maryland 20857

Notification procedure: To determine if a file exists, write the Director, National Institute for Occupational Safety and Health, 5600 Fishers Lane, Parklawn Bldg. Rm. 8-05, Rockville, Maryland 20857, and provide the following information: (1) approximate date(s) and place of examination; (2) an individual who requests notification of or access to a medical record shall, at the time the request is made, designate a responsible representative in writing who will be willing to review the record and inform the subject individual of its content at the representative's discretion (45 CFR, Part 5b.6, Federal Register, October 8, 1975, page 47411).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Write the Director, National Institute for Occupational Safety and Health, 5600 Fishers Lane, Parklawn Bldg., Rm. 8-05, Rockville, Maryland 20857. Reasonably identify the record and specify the information to be contested in accordance with Department Regulations, Federal Register, October 8, 1975, page 47411 (45 CFR, Part 5b.7).

Record source categories: Information is obtained directly from the individual participants in the study.

Systems exempted from certain provisions of the act: None.

09-20-0146

System name: Health Effects of Sulfur Oxides and Sulfuric Acid, Nitrogen Oxides, and Nitric Acid -- HEW/CDC/NIOSH

Security classification: None.

System location:

Epidemiological Investigations Branch, Division of Respiratory Disease Studies
National Institute for Occupational Safety and Health
944 Chestnut Ridge Road
Morgantown, West Virginia 26505

Categories of individuals covered by the system: Approximately 1000 - 1500 workers exposed to sulfur oxides, sulfuric acid, nitrogen oxides, and nitric acid, at sulfuric acid plants (e.g., in Missouri), battery plants (in Pennsylvania), and certain food processing plants which utilize sulfur dioxide (e.g., in the Washington, Oregon area).

Categories of records in the system: Occupational histories, demographic data, chest x-rays, results of medical tests.

Authority for maintenance of the system: Occupational Safety and Health Act, Section 20 (29 U.S.C. 669).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Records may be released to the Department of Justice or other appropriate Federal agencies in defending claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual (45 CFR Part 5B, Appendix B, Item 100). Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Computer tape, manual files, analog tape.

Retrievability: The purpose of this system is to determine the cause and prevention of occupationally-related diseases. Name and assigned number are indexes used to retrieve records from this system.

Safeguards: The records are maintained in locked cabinets with access limited to authorized personnel (system manager, principal investigator and his staff assigned to the project, project officer, contracting officer). For computerized records, safeguards are established in accordance with Departmental standards and National Bureau of Standards guidelines, e.g., security codes will be used limiting access to authorized personnel.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as

determined by the system manager, and as provided in the signed consent forme as appropriate. Records will be shredded, burned, or erased.

System manager(s) and address:

Director
National Institute for Occupational Safety and Health
5600 Fishers Lane, Parklawn Building - Room 8-05
Rockville, Maryland 20857

Notification procedure: To determine if a file exists, write the Director, National Institute for Occupational Safety and Health, 5600 Fishers Lane, Parklawn Bldg. Rm. 8-05, Rockville, Maryland 20857, and provide the following information: (1) approximate date(s) and place of treatment or questionnaire administration; (2) name of study if known; (3) an individual who requests notification of or access to a medical record shall, at the time the request is made, designate a responsible representative in writing who will be willing to review the record and inform the subject individual of its contents at the representative's descretion (these notification and access procedures are requirements of the Department regulations, 45 CFR, Part 5b.6, Federal Register, October 8, 1975, page 47411).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Write the Director, National Institute for Occupational Safety and Health, 5600 Fishers Lane, Parklawn Bldg., Rm. 8-05, Rockville, Maryland 20857.

Reasonably identify the record and specify the information to be contested in accordance with Department regulations, Federal Register, October 8, 1975, page 47411 (45 CFR Part 5b7).

Record source categories: Information is obtained directly from workers at sulfuric acid plants in Missouri, battery plants in Pennsylvania and certain food processing plants which utilize sulfur dioxide in the Washington - Oregon area.

Systems exempted from certain provisions of the act: None. /*

09-10-0001

System name: Quality Assurance Program--HEW/FDA/HFO

Security classification: None.

System location: Each FDA Field/District Office (see Appendix A).

Categories of individuals covered by the system: FDA employees who conduct inspections.

Categories of records in the system: Contains name, supervisor's evaluation of inspection reports, and notes of conversations or observations.

Authority for maintenance of the system: Section 704 of the Federal Food, Drug, and Cosmetic Act (21 U.S.C. 374) authorizes inspections; 1968 directive of Executive Director of Regional Operations, FDA, requires program to assure uniform, high quality inspections.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Not released outside the Agency, except disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Maintained in letter-size manila folders in supervisor's files.

Retrievability: Indexed by name, used to inform employee of results of the review of Establishment Inspection Reports.

Safeguards: Maintained in locked containers in secured area. Building secured when not occupied.

Retention and disposal: Records are retained as long as individual is an employee. Held 1 year then destroyed.

System manager(s) and address: Individual Supervisor (investigational) at Field/District Offices (see Appendix A).

Notification procedure: FDA Privacy Coordinator (HFC-18), Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857.

Record access procedures: Same as notification procedure. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with FDA Regulations (21 CFR 21.40), published in the Federal Register March 22, 1977, Page 15629.).

Contesting record procedures: Write to the official at the address specified under 'Notification Procedure' above and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with FDA Regulations (21 CFR 21.50) published in the Federal Register of March 22, 1977, Page 15631.).

Record source categories: Supervisor, based on review of Establishment Inspection Reports completed by individual inspector.

Systems exempted from certain provisions of the act: None.

Appendix A--Addresses and working hours of the Food and Drug Administration Field Offices.

The following is a list of the Food and Drug Administration Field Offices, their addresses and working hours where individuals may have access to records in Food and Drug Administration Privacy Act Record Systems:

Boston District Office, Region I, 585 Commercial St., Boston, Massachusetts 02109, Office hours: 8a.m. to 4:30 p.m.

New York District Office, Region II, 850 3rd Ave., Brooklyn, New York 11232, Office hours: 8 a.m. to 4:30 p.m.

Buffalo District Office, Region II, 599 Delaware Ave., Buffalo, New York 14202, Office hours: 8 a.m. to 4:30 p.m.

Newark District Office, Region II, 20 Evergreen Place, East Orange, New Jersey 07018, Office hours: 8 a.m. to 4:30 p.m.

San Juan District Office, Region II, P. O. Box S-4427, San Juan Station, San Juan, Puerto Rico 00905, Office hours: 8:30 a.m. to 4:30 p.m.

Philadelphia District Office, Region III, 2nd and Chestnut St., Rm. 900, Philadelphia, Pennsylvania 19106, Office hours: 8 a.m. to 4:30 p.m.,

Baltimore District Office, Region III, 900 Madison Ave., Baltimore, Maryland 21201, Office hours: 8 a.m. to 4:30 p.m.

Atlanta District Office, Region IV, 880 Peachtree St., NW., Atlanta, Georgia 30309, Office hours: 8 a.m. to 4:30 p.m.

Nashville District Office, Region IV, 297 Plus Park Blvd., Nashville, Tennessee 37127, Office hours: 8 a.m. to 4:30 p.m.

Orlando District Office, Region IV, P. O. Box 118, Orlando, Florida 32802, Office hours: 8 a.m. to 4:30 p.m.

Chicago District Office, Region V, 433 W. Van Buren St., Rm. 1222, Chicago, Illinois 60607, Office hours: 8 a.m. to 4:30 p.m.

Cincinnati District Office, Region V, 1141 Central Pkwy., Cincinnati, Ohio 45202, Office hours: 8 a.m. to 4:30 p.m.

Detroit District Office, Region V, 1560 E. Jefferson Ave., Detroit, Michigan 48207, Office hours: 8 a.m. to 4:30 p.m.

Minneapolis District Office, Region V, 240 Hennepin Ave., Minneapolis, Minnesota 55401, Office hours: 8 a.m. to 4:30 p.m.

Dallas District Office, Region VI, 3032 Bryan St., Dallas, Texas 75204i Office hours: 8 a.m. to 4:30 p.m.

New Orleans District Office, Region VI, 423 Canal St., Rm. 222, New Orleans, Louisiana 70130, Office hours: 8 a.m. to 4:30 p.m.

Kansas City Field Office, Region VII, 1009 Cherry St., Kansas City, Missouri 64106, Office hours: 8 a.m. to 4:30 p.m.

Denver Field Office, Region VIII, 721 19th St., U.S. Customhouse, Denver, Colorado 80202, Office hours: 8 a.m. to 4:30 p.m.

San Francisco District Office, Region IX, 50 Fulton St., Rm. 518, San Francisco, California 94102, Office hours: 8 a.m. to 4:30 p.m.

Los Angeles District Office, Region IX, 1521 W. Pico Blvd., Los Angeles, California 90015, Office hours: 8 a.m. to 4:30 p.m.

Seattle Field Office, Region X, 909 1st Ave., Rm. 5003, Seattle, Washington 98104, Office hours: 8 a.m. to 4:30 p.m.

Winchester Engineering and Analytical Center, 109 Holton Street, Winchester, Mass. 01890, Office hours: 8a.m. to 4:30.p.m.

09-10-0002

System name: Regulated Industry Employee Enforcement Records--HEW/FDA/HFA.

Security classification: None.

System location: Administrative Services Branch, Associate Commissioner for Administration, 5600 Fishers Lane, Rockville, MD 20857 Field/District Offices (see Appendix on Quality Assurance Program - FDA 0001.00 system).

Categories of individuals covered by the system: Employees of enterprises regulated by FDA and other individuals subject to FDA enforcement actions.

Categories of records in the system: Includes correspondence, memoranda, inspection reports, and other documents that are investigatory material compiled for law enforcement purposes, including criminal law enforcement purposes.

Authority for maintenance of the system: Federal Food, Drug, and Cosmetic Act (21 U.S.C. 321 et seq.), the Public Health Service Act (42 U.S.C. 201 et seq.), and authority delegated to the Commissioner, 21 Part 5.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Records that indicate violation or potential violation of law may be (1) referred for investigation and possible enforcement action under the Federal, State, or foreign laws to the Department of Justice, an appropriate State food and drug enforcement health agency or licensing authority, or the government of a foreign country or (2) disclosed in administrative or court proceedings. Records in the system may be the subject of discretionary disclosures under the Freedom of Information Act (5 U.S.C. 552). Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manual files are maintained in letter-size folders. Part of FDA's general records on regulated establishments.

Retrievability: Indexed by company or subject, sometimes with individual name in card cross-index. Automated index to system now being implemented. Records are used by FDA employees in investigations of possible violations of the law. FDA regulatory records lacking individual name indexes, such as its case file, and administrative files (AF), are not part of this system.

Safeguards: All files are stored in locked cabinets in a secured area. For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines (e.g. security codes) will be used, limiting access to authorized personnel.

Retention and disposal: Records are retained indefinitely.

System manager(s) and address: Chief, Administrative Services Branch, Associate Commissioner for Administration, Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857

Notification procedure: FDA Privacy Coordinator (HFC-18), Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857.

Record access procedures: Same as notification procedure (some material is exempt from access and contest). Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with FDA Regulations (21 CFR 21.40), published in the Federal Register March 22, 1977, page 15629).

Contesting record procedures: Write to the official at the address specified under 'Notification Procedure' above and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with FDA Regulations (21 CFR 21.50) published in the Federal Register of March 22, 1977, Page 15631.).

Record source categories: Individual on whom the record is maintained, from third parties such as consumers, scientists, representatives of other companies, State agencies, or developed by FDA during investigations for law enforcement purposes.

Systems exempted from certain provisions of the act: This system is exempt from access and contest and certain other provisions of the Privacy Act (5 U.S.C. 552a(c)(3), (d)(1) to (4), (e)(3), (e)(4)(G) to (H) and (f) to the extent that it includes investigatory material compiled for law enforcement purposes, including criminal law enforcement purposes.

09-10-0003

System name: FDA Credential Holder File--HEW/FDA/HFO.

Security classification: None.

System location: FDA Employees: Services Management Section, Associate Commissioner for Administration, Rm. 4C-03, Parklawn Bldg., 5600 Fishers Lane, Rockville, MD 20857; office Services Section, Associate Commissioner for Administration, Rm. B-002, FB-8, 200 C St., SW., Washington, D. C. 20204; and Administrative Branches at Field/District Offices (see Appendix A). State Employees: Division of Federal-State Relations (HFO-300), Rm. 12-57, Parklawn Bldg., 5600 Fishers Lane, Rockville, MD 20857 and Administrative Branches at Field/District Offices (see Appendix A on Quality Assurance Program-FDA 0001.00 system).

Categories of individuals covered by the system: FDA employees and State and local government employees who have been issued FDA credentials for enforcement activities.

Categories of records in the system: Contains name, job title, social security number, sex, height, weight, date of birth, color of eyes and hair, duty status, and for State and local government employees, professional qualifications.

Authority for maintenance of the system: Sections 702 to 704, the Federal Food, Drug, and Cosmetic Act (21 U.S.C. 372 to 374).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Providing assurance to regulated enterprises that an individual is a duly designated enforcement officer and, in the case of State employees, an officer commissioned as an officer of the Department. Used to gain entry to regulated establishments. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department

of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Maintained in letter-size manila folders or card files.

Retrievability: Indexed by name, used to issue or reissue credentials.

Safeguards: Masterfile is in locked containers in secured area.

Retention and disposal: Records are retained as long as individual is a duly designated or commissioned official; inactive files destroyed after 6 months.

System manager(s) and address: FDA Employees: Chief, Services Management Section, Associate Commissioner for Administration, Rm. 4C-03, Parklawn Bldg., 5600 Fishers Lane, Rockville, MD 20857; Chief, Office Services Section, Associate Commissioner for Administration, Rm. B-002, FB-8, 200 C St., SW., Washington, DC 20204; and A on Quality Assurance Program-FDA 0001.00 system). State Officers of Field/District Offices (see Appendix A on Quality Assurance Program FDA 001.01 System. State Employees: Director, Division of Federal-State Relations (HFO-300), Rm. 12-57, Parklawn Bldg., 5600 Fishers Lane, Rockville, MD 20857 and Administrative Officers at Field/District Offices (see Appendix A on Quality Assurance System. FDA 0001.00).

Notification procedure: FDA Privacy Coordinator (HFC-18), Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857. State officials should provide State of employment.

Record access procedures: Same as notification procedure. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with FDA Regulations (21 CFR 21.40), published in the Federal Register March 22, 1977, Page 15629.).

Contesting record procedures: Write to the official at the address specified under 'Notification Procedure' above and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with FDA Regulations (21 CFR 21.50) published in the Federal Register of March 22, 1977, Page 15631.).

Record source categories: Individual on whom the record is maintained.

Systems exempted from certain provisions of the act: None.

09-10-0004

System name: Communications (oral and written) with the public. HEW/FDA/HFA

Security classification: None.

System location: Administrative Services Branch, Associate Commissioner for Administration; Office of Legislative Services; 5600 Fishers Lane, Rockville, MD 20857; FDA Field/District Offices (see Appendix A on Quality Assurance Program-FDA 0001.00 system).

Categories of individuals covered by the system: Individuals, other than employees of enterprises regulated by FDA, who communicate with FDA or, in some cases, are the subject of communications by others with FDA; for example, correspondence by members of Congress writing to FDA on their behalf.

Categories of records in the system: Generally initiated by individuals outside the agency. Includes correspondence from and to individuals, summaries of conversations prepared by FDA employees, and records prepared by FDA as a follow-up to consumer complaints, oral and written.

Authority for maintenance of the system: Federal Food, Drug, and Cosmetic Act (21 U.S.C. 321 et seq.); the Public Health Service Act (42 U.S.C. 201 et seq.), and authority delegated to the Commissioner (21 CFR 5.1).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: All correspondence to and from members of the public, members of Congress, organization or company officials, or other persons except members of the Executive Branch and special government employees is available for public disclosure except to the extent that the correspondence concerns confidential information (21 CFR 4.102); individual names are generally deleted prior to disclosure. Records that indicate violation or potential violation of law may be (1) disclosed in administrative or court proceedings; (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, 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. (45 CFR Part 5b, Appendix B(1)); (3) 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 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. (45 CFR Part 5b, Appendix B(5)). Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manual files are maintained in letter-size folders.

Retrievability: Used by FDA employees in carrying out their responsibilities, e.g., responding to follow-up correspondence on complaints, requests for information, etc. Administrative Services Branch files include copies of correspondence received from public and FDA reply. Records are arranged by company or by subject. A card index gives correspondent's name, date of letter, subject and location. An automated index is being implemented. The Office of Legislative Services maintains duplicates of letters FDA sends to members of Congress and summaries of oral inquiries in files organized by members' names. The Office of Legislative Services maintains a manual control system and the Executive Secretariat, Office of the Commissioner, maintains an automated control system of pending correspondence needing reply. Field offices file consumer complaints by complainants' names. Other FDA units have correspondence files but these are not retrieved by individual name or personal identifiers.

Safeguards: All files are stored in locked cabinets in secured areas.

Retention and disposal: Records are retained indefinitely.

System manager(s) and address: Chief, Administrative Services Branch, Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857; Director, Office of Legislative Services, 5600 Fishers Lane, Rockville, MD 20857; Regional or Deputy Regional Food and Drug Directors in FDA Field/District Offices (see Appendix A on Quality Assurance Program-FDA 0001.00 system).

Notification procedure: FDA Privacy Coordinator (HFC-18), Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857.

Record access procedures: Same as notification procedure. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with FDA Regulations (21 CFR 21.40), published in the Federal Register March 22, 1977, Page 15629.).

Contesting record procedures: Write to the official at the address specified under 'Notification Procedure' above and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with FDA Regulations (21 CFR 21.50) published in the Federal Register of March 22, 1977, Page 15631.).

Record source categories: Individual on whom the record is maintained or others (generally members of Congress) who write to FDA about them.

Systems exempted from certain provisions of the act: None.

09-10-0005

System name: State Food and Drug Official File--HEW/FDA/HFO.

Security classification: None.

System location: Division of Federal-State Relations, Rm. 12-57, Parklawn Bldg., 5600 Fishers Lane, Rockville, MD 20857

Categories of individuals covered by the system: State Officials who have responsibilities related to those of the Food and Drug Administration.

Categories of records in the system: Contains name, date of birth, education and professional experience.

Authority for maintenance of the system: Section 702(a) of the Federal Food, Drug, and Cosmetic Act (21 U.S.C. 372(a)).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Maintained in letter-size manila folders.

Retrievability: Indexed by name and State.

Safeguards: Maintained in locked files with correspondence by States.

Retention and disposal: Records are retained as long as individual is a State employee or until updated by the individual.

System manager(s) and address: Director, Division of Federal-State Relations, Rm. 12-57, Parklawn Bldg., 5600 Fishers Lane, Rockville, MD 20857.

Notification procedure: FDA Privacy Coordinator (HFC-18), Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857. Provide name and State of employment.

Record access procedures: Same as notification procedure. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with FDA Regulations (21 CFR 21.40), published in the Federal Register, March 22, 1977, page 15629.).

Contesting record procedures: Write to the official at the address specified under 'Notification Procedure' above and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with FDA Regulations (21 CFR 21.50), published in the Federal Register, March 22, 1977, Page 15631.).

Record source categories: Individual on whom the record is maintained.

09-10-0006

System name: Radiation Registry of Physicians--HEW/FDA/HFX.

Security classification: None.

System location: Division of Biological Effects, Bureau of Radiological Health, Rm. 38, Twinbrook Research Laboratory, 12709 Twinbrook Pkwy., Rockville, MD 20852.

Categories of individuals covered by the system: Radiologists and Pathologists who were members of American College of Radiology or College of American Pathologists between 1961 and 1972.

Categories of records in the system: Contains ID number, name, demographic characteristics, radiation exposure history, medical history of conditions affected by radiation, and date and cause of death, if deceased.

Authority for maintenance of the system: Section 356 of the Public Health Service Act (42 U.S.C. 263d) as amended by Pub. L. 90-602, the Radiation Control for Health and Safety Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used for (1) records matched with outside agencies/educational institutions to obtain additional epidemiological, medical, and mortality information, or (2) information exchanged with qualified research scientists. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Maintained in letter-size manila folders, magnetic tape, and punch cards.

Retrievability: Indexed by ID number. An individual identifier index is maintained separate from the data. Used for statistical analysis of compiled data for epidemiologic studies of long term effects of chronic exposure to low levels of ionizing radiation.

Safeguards: Basic data identified by number only are stored in unlocked cabinets in a secured file area. The individual identifier index is stored in a locked cabinet.

Retention and disposal: Records are retained as long as there is a foreseeable need for additional research and data analysis.

System manager(s) and address: Chief, Biometric Section, Division of Biological Effects, Bureau of Radiological Health, Rm. 38, Twinbrook Research Laboratory, 12709 Twinbrook Pkwy., Rockville, MD 20852. Mailing address: 5600 Fishers Lane, Rockville, MD 20857.

Notification procedure: FDA Privacy Coordinator (HFC-18), Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857

Record access procedures: Same as notification procedure. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with FDA Regulations (21 CFR 21.40), published in the Federal Register, March 22, 1977, Page 15629.).

Contesting record procedures: Write to the official at the address specified under 'Notification Procedure' above and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with FDA Regulations (21 CFR 21.50), published in the Federal Register, March 22, 1977, Page 15631.).

Record source categories: Individual on whom the record is maintained and death certificates.

Systems exempted from certain provisions of the act: None

09-10-0007

System name: Science Advisor Research Associate Program (SARAP)--HEW/FDA/HFO.

Security classification: None.

System location: Field Sciences Branch, Division of Field Operations, Executive Director of Regional Operations, 5600 Fishers Lane, Rockville, MD 20857

Categories of individuals covered by the system: FDA field personnel who have applied to participate in full-time research effort under the program.

Categories of records in the system: Contains name, curriculum vitae, description of research proposal, budget, and statement of career goals.

Authority for maintenance of the system: Guidelines for Implementation and Operation of the Science Advisor Research Associate Program and Field Research Program, dated July 1, 1974.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Not released outside the agency, except disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the

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

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

Storage: Maintained in letter-size manila folders.

Retrievability: Indexed by name, used to monitor the progress of research objectives of approved individual SARAP research projects. Used by the SARAP Committee and knowledgeable persons in the specific field. Released on a need-to-know basis to authorized personnel.

Safeguards: Files are maintained in secured file containers or in secured file area.

Retention and disposal: Records are presently retained indefinitely.

System manager(s) and address: Director, Field Sciences Branch, Division of Field Operations, Executive Director of Regional Operations, (HFO-130), Rm. 13-86, Parklawn Bldg., 5600 Fishers Lane, Rockville, MD 20857

Notification procedure: FDA Privacy Coordinator (HFC-18), Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857

Record access procedures: Same as notification procedure. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with FDA Regulations (21 CFR 21.40), published in the Federal Register, March 22, 1977, page 15629.).

Contesting record procedures: Write to the official at the address specified under 'Notification Procedure' above and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with FDA Regulations (21 CFR 21.50), published in the Federal Register, March 22, 1977, Page 15631.).

Record source categories: Individual on whom the record is maintained.

Systems exempted from certain provisions of the act: None

09-10-0008

System name: Radiation Protection Program Personnel Monitoring System--HEW/FDA/HFX.

Security classification: None.

System location: Division of Radioactive Materials and Nuclear Medicine, Bureau of Radiological Health, Rm. 320, Chapman Bldg., 1901 Chapman Ave., Rockville, MD 20857.

Categories of individuals covered by the system: Personnel in clinics, laboratories, hospitals, industrial plants, etc., who work with ionizing radiation sources required to be monitored by Nuclear Regulatory Commission regulations.

Categories of records in the system: Contains name, date of birth, job code, effective date, and place of business.

Authority for maintenance of the system: Atomic Energy Act of 1954 (68 Stat. 919 et seq.). Nuclear Regulatory Commission Regulations, 10 CFR Part 20.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Results are disclosed to employers, i.e., clinics, laboratories, etc., or employee. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Maintained in letter-size manila folders and on IBM cards.

Retrievability: Indexed by name and by facility. Used to monitor incremental and accumulated exposure to ionizing radiation for radiation protection purposes.

Safeguards: Filed in secured containers or in secured file area. Released on a need-to-know basis.

Retention and disposal: Records are retained as long as individual is a part of the program. Held 1 year in an inactive status. Held in storage thereafter indefinitely.

System manager(s) and address: Radiation Safety Officer, FDA, Rm. 320, Chapman Bldg. Mailing Address: 5600 Fishers Lane, Rockville, MD 20857

Notification procedure: FDA Privacy Coordinator (HFC-18), Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857

Record access procedures: Same as notification procedure. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with FDA Regulations (21 CFR 21.40), published in the Federal Register, March 22, 1977, Page 15629.).

Contesting record procedures: Write to the official at the address specified under 'Notification Procedure' above and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with FDA Regulations (21 CFR 21.50), published in the Federal Register, March 22, 1977, Page 15631

Record source categories: Individual on whom the record is maintained.

Systems exempted from certain provisions of the act: None.

09-10-0009

System name: Individual and Household Statistical Surveys and Special Studies on FDA-Regulated Products--HEW/FDA/HFA.

Security classification: None.

System location: Negotiated Contracts Branch, Rm. 5B-37, Parklawn Bldg., 5600 Fishers Lane, Rockville, MD 20857.

Categories of individuals covered by the system: Individuals, specialty groups, e.g., physicians, and households participating voluntarily in FDA-sponsored surveys and studies.

Categories of records in the system: Data collected vary with each survey. Normal standard information for individuals or household members could, but not necessarily, include name, age, sex, marital status, address or locale of residence, etc. Nondemographic items would relate to experience with or opinions about a particular product.

Authority for maintenance of the system: Section 701(a) of the Federal Food, Drug, and Cosmetic Act (21 U.S.C. 301 et seq.).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Data released in statistical form only, except disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Questionnaires are filed in standard filing equipment. Statistical data are stored on magnetic tape.

Retrievability: Accessed by ID number assigned by contractor during collection process. Individual files are maintained in agency and contractor's custody until all collection procedures are completed.

Safeguards: Questionnaires are maintained in locked containers in secured area. Magnetic tapes are maintained in secure computer facility with access limited to program analysts only. All employees

are subject to the restrictions, penalties, and prohibitions of applicable FDA regulations governing the confidentiality of the data.

Retention and disposal: Questionnaires are retained until all statistical problems are resolved then destroyed. Statistical records are maintained as long as they can be used validly.

System manager(s) and address: Chief, Negotiated Contracts Branch, (HFA-510), Rm. 5B-37 Parklawn Bldg., 5600 Fishers Lane, Rockville, MD 20857

Notification procedure: FDA Privacy Coordinator (HFC-18), Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857

Record access procedures: Same as notification procedure. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with FDA Regulations (21 CFR 21.40), published in the Federal Register, March 22, 1977, Page 15629.).

Contesting record procedures: Write to the official at the address specified under 'Notification Procedure' above and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with FDA Regulations (21 CFR 21.50), published in the Federal Register, March 22, 1977, Page 15631.).

Record source categories: Individual on whom the record is maintained or patient's medical records, depending on the type of survey or study.

Systems exempted from certain provisions of the act: None.

09-10-0010

System name: Clinical Investigator Records--HEW/FDA/HFD.

Security classification: None.

System location: Scientific Investigations Staff, Bureau of Drugs, Rm. 18B-31, 5600 Fishers Lane, Rockville, MD 20857

Categories of individuals covered by the system: Clinical investigators who are conducting or have conducted clinical studies of new drugs under investigational new drug exemption requests.

Categories of records in the system: Automated file is maintained on all clinical investigators; contains name, education, professional qualifications, and background, and information on studies being conducted. Manual file contains, in addition to that same information, investigatory material collected or developed by FDA, during investigations of possible violations of statutes and regulations governing new drug studies.

Authority for maintenance of the system: Section 505(i)(3), Federal Food, Drug, and Cosmetic Act (21 U.S.C. 355(i)(3)); 21 CFR Part 312 (New drugs for investigational use).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Records that indicate violation or potential violation of law may be (1) referred for investigation and possible enforcement action under the Federal, State, or foreign laws to the Department of Justice, an appropriate State food and drug enforcement agency or licensing authority, or the government of a foreign country where studies are being or have been conducted, or (2) disclosed in administrative or court proceedings. Records in the system may be (1) the subject of discretionary disclosures under the Freedom of Information Act (5 U.S.C. 522) where the Commissioner finds the public interest in disclosure outweighs the impact on the investigator's personal privacy, or (2) disclosed to drug companies seeking information on whether a given investigator is qualified to receive investigational drugs. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Three hundred to five hundred files compiled of investigations of possible violations of statutes and regulations are maintained in letter-size manila folders. Automated file (approximately 30,000 investigators) is maintained on magnetic tape.

Retrievability: Indexed by name, used to provide controls to assure that investigators meet requirements of statute or regulations.

Safeguards: All files are stored in locked cabinets in secured area. For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines (e.g. security codes) will be used, limiting access to authorized personnel.

Retention and disposal: Records retained indefinitely.

System manager(s) and address: Director, Scientific Investigations Staff (HFD-108), Bureau of Drugs, Rm. 18B-31, Parklawn Bldg., 5600 Fishers Lane, Rockville, MD 20857

Notification procedure: FDA Privacy Coordinator (HFC-18), Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857

Record access procedures: Same as notification procedure (some material is exempt from access and contest). Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with FDA Regulations (21 CFR 21.40), published in the Federal Register, March 22, 1977, Page 15629.).

Contesting record procedures: Write to the official at the address specified under 'Notification Procedure' above and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with FDA Regulations (21 CFR 21.50) published in the Federal Register, March 22, 1977, Page 15631.).

Record source categories: Individual on whom the record is maintained. Some material is obtained from third parties, e.g., drug companies, publications, or is developed by FDA.

Systems exempted from certain provisions of the act: This system is exempt from access and contest and certain other provisions of the Privacy Act (5 U.S.C. 552a(c)(3), (d)(1) to (4), (e)(3), (e)(4)(G) to (H) and (f) to the extent that it includes investigatory material compiled for law enforcement purposes, including criminal law enforcement purposes.

09-10-0011

System name: Certified Retort Operators--HEW/FDA/HFF.

Security classification: None.

System location: Division of Food Technology, Bureau of Foods, Rm. 4029, FB-8, 200 C St., SW, Washington, DC 20204.

Categories of individuals covered by the system: Food industry employees who have attended courses of instruction relating to operation of retorts.

Categories of records in the system: Contains name and training records.

Authority for maintenance of the system: Section 404 of the Federal Food, Drug, and Cosmetic Act (21 U.S.C. 344); 21 CFR 128b.10.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Records showing that low-acid canned food establishment did not have canning operations under the supervision of certified retort operator may be (1) referred for investigation and possible enforcement action against the company and responsible officials, to the Department of Justice, or appropriate State food and drug law enforcement agencies, or (2) disclosed in administrative or court proceedings. Most records in the system may be disclosed (1) under the Freedom of Information Act (5U.S.C. 522), or (2) a food company may be advised whether an individual has satisfied FDA requirements. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to ef-

fectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Maintained in standard filing equipment and magnetic tape.

Retrievability: Indexed by name, used to ascertain program progress.

Safeguards: Magnetic tapes are stored in locked containers in secured area. Individual printouts/original hard copy records are stored in regular administrative files, maintained in secured file area or secured file containers.

Retention and disposal: Retained indefinitely.

System manager(s) and address: Director, Division of Food Technology (HFF-400), Rm. 4029, FB-8, 200 C St., SW., Washington, DC 20204.

Notification procedure: FDA Privacy Coordinator (HFC-18), Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857

Record access procedures: Same as notification procedure. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with FDA Regulations (21 CFR 21.40), published in the Federal Register, March 22, 1977, Page 15629.).

Contesting record procedures: Write to the official at the address specified under 'Notification Procedure' above and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with FDA Regulations 21 CFR (21.50), published in the Federal Register, March 22, 1977, page 15631).

Record source categories: Educational institutions that conduct retort operator training.

Systems exempted from certain provisions of the act: None.

09-10-0012

System name: Association of Official Analytical Chemists (AOAC) Member File--HEW/FDA/HFS.

Security classification: None.

System location: FDA Liaison Office for AOAC, Rm. 3848, FB-8, 200 C St., SW, Washington, DC 20204.

Categories of individuals covered by the system: AOAC Committee members, Subcommittee members, Referees and Associate Referees (employed by FDA, related Federal or State agencies, universities, or regulated industry). Shows individuals involved in AOAC scientific activities, e.g., developing methods for determining adulteration of food, drugs, etc.

Categories of records in the system: Contains name, address, telephone number, and area of study.

Authority for maintenance of the system: Section 702(a) of the Federal Food, Drug, and Cosmetic Act (21 U.S.C. 372(a)); section 301 of the Public Health Service Act (42 U.S.C. 241).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Provided to Department of Agriculture, Environmental Protection Agency, and the various State agencies that have an interest in development of official analytical methods. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Maintained in letter-size manila folders, card file, and magnetic tape.

Retrievability: Indexed by name, used to provide a service for AOAC on its committees. Primary use of the system is the preparation of an annual publication listing AOAC projects; used as mailing list and to identify individuals who may be asked to assist FDA.

Safeguards: Masterfile is in locked containers in secured area. Individual files are maintained with other administrative files. All information in the records is required to be disclosed under the Freedom of Information Act.

Retention and disposal: Records are retained as long as an individual is a participating member, then destroyed.

System manager(s) and address: FDA Liaison Officer for AOAC (HFS-56), Rm. 3848, FB-8, 200 C St., SW, Washington, DC 20204.

Notification procedure:

FDA Privacy Coordinator (HFC-18)
Food and Drug Administration
5600 Fishers Lane
Rockville, MD 20857

Record access procedures: Same as notification procedure. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with FDA Regulations (21 CFR 21.40), published in the Federal Register, March 22, 1977, Page 15629.).

Contesting record procedures: Write to the official at the address specified under 'Notification Procedure' above and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with FDA Regulations (21 CFR 21.50), published in the Federal Register, March 22, 1977, Page 15631.).

Record source categories: Individual on whom the record is maintained.

Systems exempted from certain provisions of the act: None.

09-10-0013

System name: Employee Conduct Investigative Records - HEW/FDA/HFA.

Security classification: None.

System location:

Policy Management Staff, FDA
Room 10-90, 5600 Fishers Lane
Rockville, MD 20857

Review Panel For New Drug Regulation Staff
Room 3139, NHEW
330 Independence Ave., S.W.
Washington, D.C. 20201.

Categories of individuals covered by the system: Employees or former employees, or special Government employees of FDA who are alleged to have violated FDA or Departmental regulations and/or Federal statutes.

Categories of records in the system: This system includes records relating to correspondence concerning an individual's employment status or conduct while employed by FDA. Examples of these records include: correspondence from employees, Members of Congress, and members of the public alleging misconduct by an official of FDA. It also contains reports of investigation to resolve allegation of misconduct or violation of statute, with related exhibits of statements, affidavits or records obtained during the investigation; reports of action taken by management deciding action on any misconduct substantiated by the investigation; and reports of legal action resulting from violations of statutes referred for prosecution.

Authority for maintenance of the system: 5 U.S.C. 301; Title 18, U.S.C. (e.g., 18 U.S.C. 201, 203, 205, 207, 208, 209, 1905); 21 U.S.C. 331; 28 U.S.C. 535(b); 44 U.S.C. 3101; E.O. 10450 and 11222; 45 CFR Part 73.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto. (45 CFR Part 5b, Appendix B(1)).

(2) In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential viola-

tion of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether state or local charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto. (45 CFR Part 5b, Appendix B(5)). Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Paper records, in folders, in file cabinets.

Retrievability: Alphabetical by name. Used within FDA for providing management with information needed to take action on complaints or alleged violations. May be referred to Office of Investigations and Security, Office of the Secretary, HEW, and disclosures may be made by that office.

Safeguards: Records are maintained in locked file cabinets within a locked file room or in a safe within a secured area.

Retention and disposal: Records are retained until death of subject individual.

System manager(s) and address:

Director, Policy Mangement Staff
HFA-20, Room 10-90
Food and Drug Administration
5600 Fishers Lane
Rockville, Maryland 20857
Executive Secretary, Review Panel on New Drug Education
Room 3510, NHEW
330 Independence Ave., S.W.
Washington, D.C. 20201.

Notification procedure:

FDA Privacy Act Coordinator (HFC-18)
Food and Drug Administration
5600 Fishers Lane
Rockville, MD 20857

Record access procedures: Same as notification procedure (some material is exempt from access and contest). Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with FDA Regulations (21 CFR 21.40), published in the Federal Register, March 22, 1977, page 15629.

Contesting record procedures: Write to the official at the address specified under 'Notification Procedure' above and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with FDA Regulations (21 CFR 21.50), published in the Federal Register, March 22, 1977, page 15631 (Some material is exempt from access and contest).

Record source categories: Information in this system of records is obtained from FDA personnel and records, subjects of investigations, complaints, witnesses, other Federal agencies, State and local agencies, and personal observation by the investigator.

Systems exempted from certain provisions of the act: This system is exempt from access and contest and certain other provisions of the Privacy Act (5 U.S.C. 552a(c)(3), (d)(1) to (4), (e)(3), (e)(4)(G) to (H), and (f)) the extent that it includes investigatory material compiled for law enforcement purposes, including criminal law enforcement purposes, or investigatory material that would reveal confidential sources compiled solely for the purpose of determining suitability, eligibility, or qualification for Federal civilian employment, military service, Federal contracts, or access to classified information.

09-10-0014

System name: Service Contractor Employee Investigative Records, HEW/FDA/HFA.

Security classification: None.

System location:

Policy Management Staff, FDA
Room 10-90
5600 Fishers Lane
Rockville, MD 20857

Categories of individuals covered by the system: Employees of service contractors who must have access to FDA secured areas or FDA file material; employees of contractors who provide janitorial, guard and maintenance services for FDA facilties.

Categories of records in the system: This system includes records of pre-employment checks of individuals who will have access to FDA facilities during security hours and correspondence concerning an individual's employment status or conduct while having such access. Examples of such correspondence include Reports of Investigations to resolve allegations of misconduct or of violations of law, with related exhibits of statements, affidavits or records obtained during the investigation; reports of action taken by management deciding action on any misconduct substantiated by the investigation; and reports of legal action resulting from violations of statutues referred for prosecution.

Authority for maintenance of the system: 5 U.S.C. 301; Title 18, U.S.C. (e.g., 18 U.S.C. 1905); 21 U.S.C. 331; 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto. (45 CFR Part 5b, Appendix B(1)).

(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 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. (45 CFR Part 5b, Appendix B(5)). Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Paper records, in folders, in file cabinets.

Retrievability: Alphabetical by name. Used by the Food and Drug Administration to determine if the employees of service contractors shall have access to FDA facilities. Used within FDA for providing management with information to take action on complaints or alleged violations. May be referred to the Office of Investigations and Security, Office of the Secretary, HEW, and disclosures may be made by that Office.

Safeguards: Records are maintained in locked file cabinets within a locked file room or in a safe within a secured area.

Retention and disposal: Records are retained until death of subject individual.

System manager(s) and address:

Director, Policy Management Staff
HFA-20, Room 10-90
Food and Drug Administration
5600 Fishers Lane
Rockville, Maryland 20857

Notification procedure:

(HFC-18) Food and Drug Administration
5600 Fishers Lane
Rockville, MD 20857

Record access procedures: Same as notification procedures (some material is exempt from access and contest). Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with FDA Regulations (21 CFR 21.40), published in the Federal Register, March 22, 1977, page 15629

Contesting record procedures: Write to the official at the address specified under 'Notification Procedure' above and reasonably identify the record and specify the information to be contested. 21.50) March 22, 1977, page 15631). (These procedures are in accordance with FDA Regulations (21 CFR (Some material is exempt from access and contest).

Record source categories: Information in this system of records is obtained from industrial, employment and police records, subjects of investigations, complaints, witnesses, other Federal agencies, State and local agencies, and personal observation by the investigator.

Systems exempted from certain provisions of the act: This system is exempt from access and contest and certain other provisions of the Privacy Act (5 U.S.C. 552a(c)(3), (d)(1) to (4), (e)(3), (e)(4)(G) to (H), and (f)) to the extent that it includes investigatory material compiled for law enforcement purposes, including criminal law enforcement purposes, or investigatory material that would reveal confidential sources compiled solely for the purpose of determining suitability, eligibility, or qualification for Federal civilian employment, military service, Federal contracts, or access to classified information. /*

09-35-0001

System name: Applied Statistics Training Institute Applicants and Students. HEW/HRA/NCHS.

Security classification: None.

System location:

Center Building
3700 East-West Highway
Hyattsville, Maryland 20782

Categories of individuals covered by the system: Applicants for and students of concentrated, intensive short-term courses related to health statistics. They are employees of Federal, State, and local governments and other persons in health-related fields engaged in collecting and analyzing vital and health statistics.

Categories of records in the system: Applied Statistics Training Institute applicant form which contains brief education information, current employment and courses in which applicant is interested.

Authority for maintenance of the system: Public Health Service Act Section 304(6)(1) (42 USC 242b).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Alphabetically filed in file cabinet.

Retrievability: Used to set up courses, notify applicants of acceptance or non-acceptance, acceptance for a future course if necessary, and to plan for future courses not currently given in order to meet statistical needs of the health and health-related fields. Used exclusively within the NCHS. Retrievable by name.

Safeguards: Routine building security.

Retention and disposal: File destroyed six months after each course is completed.

System manager(s) and address:

Director
National Center for Health Statistics
Center Building
3700 East-West Highway
Hyattsville, Maryland 20782

Notification procedure: Through System Manager.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Voluntary submission of Application Form by person wishing to take the ASTI courses.

Systems exempted from certain provisions of the act: None.

09-35-0002

System name: National Center for Health Services Research Grants Records System HEW/HRA/NCHSR.

Security classification: None.

System location:

National Center for Health Services Research, HRA, HEW
Center Building
3700 East-West Highway
Hyattsville, Maryland 20782
and Regional Federal Records Center

Categories of individuals covered by the system: Principal Investigators and associated research and administrative personnel.

Categories of records in the system: Grant files, summary reports.

Authority for maintenance of the system: Public Health Service Act Sections 304, 305, 308, and 1205 (42 U.S.C. 242b, 242c, 242m, and 300d-4).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Where the appropriate official of the Department, pursuant to the Department's Freedom of Information Regulation determines that it is in the public interest to disclose a record which is otherwise exempt from mandatory disclosure, disclosure may be made from this system of records. (45 CFR, Part 5b, Appendix B, Item 8). (2) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manual files.

Retrievability: Retrievable by name and grant number. The information in this system is used for review and analysis for planning and policy formulation by NCHSR staff members and by other components of DHEW.

Safeguards: Locked file cabinets; general building security.

Retention and disposal: Approved grant applications and their respective files are retained at HRA for two years beyond the termination date of the project. Rejected grant applications are held for one year. The grant files are then maintained at a Federal Records Center indefinitely.

System manager(s) and address:

Chief, Grants Administration Branch
Center Building
Room 7-41
3700 East-West Highway
Hyattsville, Maryland 20782

Notification procedure: Same as above.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Applications from research community.

Systems exempted from certain provisions of the act: None.

09-35-0005

System name: Cycle II Dentist Survey HEW/HRA/BHM.

Security classification: None.

System location:

Division of Computer Research and Technology, Building 12
9000 Rockville Pike
Bethesda, Md. 20014

Categories of individuals covered by the system: All U. S. Dentists.

Categories of records in the system: 1. Name; 2. Practice location; 3. Practice characteristics; 4. Professional history.

Authority for maintenance of the system: Public Health Service Act Section 301(42 U.S.C. 241).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Magnetic Tape.

Retrievability: The system is used to study the supply and distribution of dentists in each State. System is indexed by name within state.

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

Retention and disposal: Number of years held at HRA: indefinitely.

System manager(s) and address:

Chief, Manpower Analysis Branch, DD
Center Building
Room 3-22
3700 East-West Highway
Hyattsville, Maryland 20782

Notification procedure: Same as above.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: American Association of Dental Examiners.

Systems exempted from certain provisions of the act: None.

09-35-0007

System name: Public Health Service Scholarship Program HEW/HRA/BHM.

Security classification: None.

System location:

Center Building
Room 5-44
3700 East-West Highway
Hyattsville, Maryland 20782
Div of Computer Research & Tech.
Bldg 12
Bethesda, Md 20014
and Regional Federal Records Center

Categories of individuals covered by the system: Students - Health Professionals as specified in 42 CFR 62: 1) Applicants, 2) Recipients.

Categories of records in the system: Application and associated forms; recipient records also contain progress reports, payroll forms, deferment and placement data.

Authority for maintenance of the system: P.L. 92-585.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Name of scholarship recipient, professional school he or she is attending, and date of graduation are made available to health professions associations and other interested health professions groups who have responsibility for coordinating funds paid to students from Federal and other sources. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: File Cabinets; ADP - Tapes.

Retrievability: The records in this system are used in the following manner: 1) Application - for the selection process by HRA and HSA 2) Recipient - Payroll, tuition and fees, tracking, deferment, defaults, & placement by HRA, HSA, central payroll and PHS claims office. Retrievability: Name, Award No., University, or by Social Security Number in accordance with section 7 (a)(2)(B) of the Privacy Act.

Safeguards: Locked file units.

Retention and disposal: Number of years held at HRA: 12. Number of years held at Federal Record Center before disposal: 3. How destroyed: shredder (non-selected applicant files destroyed: after six months from deadline due date).

System manager(s) and address:

Chief, Scholarship Section, Student Assistance Staff
Center Building
Room 5-44
3700 East-West Highway
Hyattsville, Maryland 20782

Notification procedure: Same as above.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories:

Evaluation forms from school faculty - requested by student applicant
Educational Institution attended
Internship and/or residency training site
HSA and CPOD, OPM/H

Systems exempted from certain provisions of the act: None.

09-35-0009

System name: Chattanooga Incremental Care Program HEW/HRA/BHM.

Security classification: None.

System location:

Division of Computer Research and Technology
NIH Bldg.12
9000 Rockville Pike
Bethesda, Md. 20014

Categories of individuals covered by the system: Elementary School Children under treatment in Dental Care Program.

Categories of records in the system: Patient's Dental Records.

Authority for maintenance of the system: Public Health Service Act Section 301(42 U.S.C. 241).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Magnetic Tape.

Retrievability: Provide timely, accurate, and easy-to-use response to program managers in Tennessee. Retrievable by system assigned I.D. Number.

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

Retention and disposal: Number of years held at HRA: indefinitely.

System manager(s) and address:

Chief, Delivery Systems Branch, D.D.
Center Building
3700 East-West Highway
Hyattsville, Maryland 20782

Notification procedure: Same as above.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Tennessee Department of Public Health.

Systems exempted from certain provisions of the act: None.

09-35-0013

System name: Indo-China Refugee Physicians and Medical Students HEW/HRA/BHM.

Security classification: None.

System location:

Division of Computer Research and Technology
9000 Rockville Pike
Bethesda, Md. 20014

Division of Medicine
Center Building
Room 4-42
3700 East West Highway
Hyattsville, Maryland 20782

Categories of individuals covered by the system: Indo-China physicians and medical students seeking certification on the Educational Commission for Foreign Medical Graduates or the National Board of Medical Examiners.

Categories of records in the system: Education and Demographic data.

Authority for maintenance of the system: 22 USC 2601.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To establish qualification regarding the ECFMG and the National Board of Medical Examiners exams to be used by persons responsible for admittance of these candidates to training courses. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manual files and magnetic tape.

Retrievability: To establish credentials and eligibility for training. To be used by individuals assisting refugee physicians and medical students to obtain qualifications re the ECFMG and the National Board of Medical Examiners examination. Indexed by names.

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

Retention and disposal: Held for three years then sent to Federal Records Center.

System manager(s) and address:

Chief, International Programs Office
Center Building
Room 4-42
3700 East-West Highway
Hyattsville, Maryland 20782

Notification procedure: Same as above.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably

identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Questionnaires completed by Indo-China physicians and medical students.

Systems exempted from certain provisions of the act: None.

09-35-0014

System name: Special Nursing Research Fellowship Grants HEW/HRA/BHM.

Security classification: None.

System location:

Center Building
Room 3-50
3700 East-West Highway
Hyattsville, Maryland 20782
and Regional Federal Records Center

Categories of individuals covered by the system: Applicants for fellowships, recipients of fellowships.

Categories of records in the system: Biographical data, education & employment history, reference reports, research background, progress of res. training, transcripts.

Authority for maintenance of the system: Public Health Service Act Section 301(42 U.S.C. 241).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: File folders.

Retrievability: The purpose of the information in this file is for review and evaluation for fellowship support. Data is retrieved by name and application number.

Safeguards: All records are kept in locked files in a room locked during non-business hours. Only authorized personnel have access.

Retention and disposal: Number of years held at HRA: 3 after termination. Number of years held at Federal Records Center before disposal: 20 (recommended; approval pending). How destroyed: Standard disposal methods of FRC.

System manager(s) and address:

Chief, Nursing Research Br., DN
Center Building
Room 3-50
3700 East-West Highway
Hyattsville, Maryland 20782

Notification procedure: Same as above.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Applicants; references (supplied by applicant); sponsoring faculty member.

Systems exempted from certain provisions of the act: None.

09-35-0016

System name: Professional Nurse Traineeships -- HEW/HRA/BHM.

Security classification: None.

System location:

Center Building
Room 3-50
3700 East-West Highway
Hyattsville, Maryland 20782

Division of Computer Research and Technology
Bldg. 12, 9000 Rockville Pike
Bethesda, Md. 20014

Categories of individuals covered by the system: Registered nurses who have received traineeship awards.

Categories of records in the system: U.S. citizenship verification; nursing licensure verification; education & employement history; post-traineeship employment.

Authority for maintenance of the system: Public Health Service Act Section 821 (42 U.S.C. 297).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information requests from participating schools regarding length of allowable support for a particular applicant. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: File folders and magnetic tapes.

Retrievability: The purpose of the information in this file is for the preparation of statistical tables and reports, and program review and evaluation. Data may be retrieved by name and I.D. number.

Safeguards: All records are kept in locked files in a room locked during non-business hours. Only authorized personnel have access. For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines (e.g. security codes) will be used, limiting access to authorized personnel.

Retention and disposal: Number of years held at HRA; 3 after termination of program. How destroyed: Standard disposal methods of FRC. Number of years held at Federal Records Center before disposal: 20 (recommended; approval pending).

System manager(s) and address:

Chief, Nursing Education Branch
Center Building
Room 3-50
3700 East-West Highway
Hyattsville, Maryland 20782

Notification procedure: Same as above.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Participating school only.

Systems exempted from certain provisions of the act: None.

09-35-0017

System name: Health and demographic surveys conducted in probability samples of the U.S. population. HEW/HRA/NCHS.

Security classification: None.

System location:

Center Building
3700 East-West Highway
Hyattsville, Maryland 20782

Categories of individuals covered by the system: Individuals and members of households selected by probability sampling techniques to be representative of the civilian noninstitutionalized population of the United States.

Categories of records in the system: Statistical records containing information on: (1) the incidence of illness and accidental injuries, prevalence of diseases and impairments, the extent of disability, the utilization and cost of health care services, and other health characteristics of individuals obtained in household interviews and from their named health care providers and insurers; or (2) the nutritional status, prevalence levels of specially defined chronic diseases, growth and development patterns and distributions of various health related measurements and related data obtained in a survey involving health examinations, tests, and other measurement procedures; or (3) marital and child bearing history and intended future births, the use of prenatal care, and the family planning practices of individual women obtained by interview. Demographic and socioeconomic characteristics such as age, marital status, education, occupation, and family income are also obtained for individuals in this system of statistical records.

Authority for maintenance of the system: Public Health Service Act Section 306(b) (42 U.S.C. 242k).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The data are disseminated for purposes of statistical research and analysis outside HEW in forms which do not permit the identification of individuals, such as publications of statistical tables, specially requested tabulations, and public use computer tapes. These are communicated to interested persons outside HEW, such as members of Congress and their staffs, other executive branch agencies, universities, States, cities, private foundations, etc. The findings are used by demographers, sociologists, health statisticians, epidemiologists, other scholars and concerned citizens, to evaluate health matters, make determinations on needs for legislation, appropriations, new service programs, and the like. Data collection, processing, and analysis are from time to time conducted for NCHS by private contractors, under guarantees by the contractors of confidentiality. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: The records are transferred onto magnetic tapes without name and address information and are maintained on magnetic tapes for an indefinite period.

Retrievability: A serial number tied to the selection process of successively smaller geographic areas is assigned to each record on magnetic tape. This serial number also appears on the original record. Each magnetic tape containing records in this system has a unique identification number and title. Original survey records are reviewed for accuracy, edited, and data (without personal identifiers such as name or SSN) are transferred to magnetic tape. Then the original records and/or microfilms are stored at the Federal Records Center. The tape is used for statistical purposes only. These uses include the preparation of aggregated data in the form of statistical tables for publication, analysis, and interpretation, to meet the legislative mandates of P.L. 93-353, to determine levels of illness and disability and their effects on the population, the use of health care facilities, trends in family formation and dissolution, and the like. Users consist of health planners, statisticians, epidemiologists, demographers, and others concerned with the problems of health and health care.

Safeguards: All employees of NCHS, as a condition of employment, sign an affidavit binding them to nondisclosure of identifiable individual information. Since the magnetic tapes have no name and address information, users of the tape could only identify specific individuals by relating the serial number on the tape to the original record. Only employees of NCHS are permitted access to the magnetic tapes with the serial numbers described above or to the files containing the original records or microfilms. Magnetic tapes with personal identifiers of individual records removed are made available for public use.

Retention and disposal: The original records are retained in office files of NCHS until the process of conversion to magnetic tape and verification of information is completed. This process is completed within approximately nine months. The original records are then sent to the Federal Records Center where they are stored for 5 years for interview survey records and 10 years for examination records. Microfilm copies of examination records are retained at the Federal Records Center for 40 years.

System manager(s) and address:

Director
National Center for Health Statistics, HRA
Center Building
3700 East West Highway
Hyattsville, Maryland 20782

Notification procedure: None.

Record access procedures: None.

Contesting record procedures: None.

Record source categories: Respondents included in the survey samples.

Systems exempted from certain provisions of the act: With respect to this system of records, exemption has been granted from the requirements contained in subsections 552a(c)(3), (d)(1) through (4), and (e)(4)(G) and (H) in accordance with the provision of subsection 552a(k)(4) of the Privacy Act of 1974. The reason this system has been exempted is that this system contains only records required by statute to be maintained and used solely as statistical records.

09-35-0021

System name: Disability Claims of the Nursing Student Loan Program--HEW/HRA/BHM.

Security classification: None.

System location:

Center Building
Room 5-50
3700 East-West Highway
Hyattsville, Maryland 20782

Categories of individuals covered by the system: Applicants for cancellation due to disability.

Categories of records in the system: Letter requests claiming disability, correspondence, payment determinations and medical records or reports.

Authority for maintenance of the system: Public Health Service Act Section 836(42 U.S.C. 297b).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manual files. Medical records or reports are temporarily held during medical evaluation and then returned to and retained by nursing schools upon final determination of claim validity.

Retrievability: Determination of validity of claims. Retrieved by name.

Safeguards: Locking file cabinets with access by authorized personnel only; general building security.

Retention and disposal: Number of years held at HRA: Indefinitely.

System manager(s) and address:

Chief, Operations Section
Student Assistance Staff
Center Building
Room 5-50
3700 East-West Highway
Hyattsville, Maryland 20782

Notification procedure: Same as above. An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Individual claimants.

Systems exempted from certain provisions of the act: None.

09-35-0022

System name: Disability Claims in the Health Professions Student Loan Program--HEW/HRA/BHM.

Security classification: None.

System location:

Center Building
Room 5-50
3700 East-West Highway
Hyattsville, Maryland 20782

Categories of individuals covered by the system: Applicants for cancellation due to disability - medicine, dentistry, osteopathy, optometry, pharmacy, podiatry, veterinary medicine.

Categories of records in the system: Letter requests claiming disability , correspondence, payment determinations and medical records or reports.

Authority for maintenance of the system: Public Health Service Act Section 741(42 U.S.C. 294a).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manual files. Medical records or reports are temporarily held during medical evaluation and then returned to and retained by nursing schools upon final determination of claim validity.

Retrievability: Determination of validity of claim. Retrieved by name.

Safeguards: Locking file cabinets with access by authorized personnel only; general building security.

Retention and disposal: Number of years held at HRA: Indefinite.

System manager(s) and address:

Chief,
Operations Section, Student Assistance Staff
Center Building
Room 5-50
3700 East-West Highway
Hyattsville, Maryland 20782

Notification procedure: Same as above

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Individual claimants.

Systems exempted from certain provisions of the act: None.

09-35-0023

System name: Health Professions Student Loan Repayment Program--HEW/HRA/BHM.

Security classification: None.

System location:

Center Building
Room 5-50
3700 East-West Highway
Hyattsville, Maryland 20782

Categories of individuals covered by the system: Applicants for repayment of health professions educational loans - medicine, dentistry, osteopathy, optometry, pharmacy, podiatry, veterinary medicine.

Categories of records in the system: Application and related documents, correspondence.

Authority for maintenance of the system: Public Health Service Act Section 741(f)(42 U.S.C. 294a(f)).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manual files and computer tapes.

Retrievability: Justification of educational loans, certification of shortage area, legal agreement, payment, and completion of agreement. Retrieved by name.

Safeguards: Locking file cabinets with access by authorized personnel only; general building security. For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines (e.g. security codes) will be used, limiting access to authorized personnel.

Retention and disposal: Number of years held at HRA: Indefinite.

System manager(s) and address:

Chief,
Operations Section, Student Assistance Staff
Center Building
Room 5-50
3700 East-West Highway

Hyattsville, Maryland 20782

Notification procedure: Same as above.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Applicant's health professions school, lending institutions.

Systems exempted from certain provisions of the act: None.

09-35-0024

System name: Health Professions Student Loan Cancellation--HEW/HRA/BHM.

Security classification: None.

System location:

Center Building
Room 5-50
3700 East-West Highway
Hyattsville, Maryland 20782

Categories of individuals covered by the system: Applicants for health professions student loan cancellation.

Categories of records in the system: Application and related documents, correspondence.

Authority for maintenance of the system: Public Health Service Act Section 741(f)(42 U.S.C. 294a(f)).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manual files.

Retrievability: The system is used for approval, statistical and audit purposes. Retrieved by name.

Safeguards: Locking file cabinets with access by authorized personnel only; general building security.

Retention and disposal: Number of years held at HRA: Indefinitely.

System manager(s) and address:

Chief,
Operations Section, Student Assistance Staff
Center Building
Room 5-50
3700 East-West Highway
Hyattsville, Maryland 20782

Notification procedure: Same as above.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Applicant, school and State Health Authority.

Systems exempted from certain provisions of the act: None.

09-35-0025

System name: Physician Shortage Area Scholarship Program--HEW/HRA/BHM.

Security classification: None.

System location:

Center Building
Room 5-50
3700 East-West Highway
Hyattsville, Maryland 20782

Div. of Computer Research & Tech.
Building 12
Bethesda, Md. 20014
and Regional Federal Records Center

Categories of individuals covered by the system: Applicants and recipients of Physician Shortage Area grants. Medicine and osteopathic students.

Categories of records in the system: Physician shortage area, grant applications, awards, and correspondence.

Authority for maintenance of the system: Health Professions Educational Assistance Act of 1976, Section 409(b) (42 USC 295g)

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manual files and computer storage.

Retrievability: This system is utilized for awarding, tracking, and placement to fulfill service obligation. Retrieved by name and program I.D. number.

Safeguards: Locking file cabinets with access by authorized personnel only; general building security. For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines (e.g. security codes) will be used, limiting access to authorized personnel.

Retention and disposal: Number of years held at HRA: 12. Number of years held at Federal Records Center before disposal: 3. How destroyed: by Federal Records Center.

System manager(s) and address:

Chief, Operations Section,
Student Assistance Staff
Center Building
Room 5-50
3700 East-West Highway
Hyattsville, Maryland 20782

Notification procedure: Same as above.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Applicants' health profession school.

Systems exempted from certain provisions of the act: None.

09-35-0026

System name: Cuban Loan Program--HEW/HRA/BHM.

Security classification: None.

System location:

Center Building
Room 5-50
3700 East-West Highway
Hyattsville, Maryland
and Regional Federal Records Center

Categories of individuals covered by the system: Applicants and recipients of Cuban Loan for medical students.

Categories of records in the system: Application and related documents, correspondence.

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

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

Storage: Manual file.

Retrievability: This system is used for awarding and tracking and collection of student loan. Retrieved by name.

Safeguards: Files are stored in locking file cabinets with access by authorized personnel only; general building security.

Retention and disposal: Number of years held at HRA: 10. Number of years held at Federal Records Center before disposal: 5. How destroyed: by Federal Records Center.

System manager(s) and address:

Chief,
Operations Section, Student Assistance Staff
Center Building
Room 5-50
3700 East-West Highway
Hyattsville, Maryland 20782

Notification procedure: Same as above.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Applicant's health profession school.

Systems exempted from certain provisions of the act: None.

09-35-0027

System name: Consultant Roster for Office of Health Resources Opportunity -- HEW/HRA/OHRO.

Security classification: None.

System location:

Center Building
3700 East-West Highway
Hyattsville, Maryland 20782

Categories of individuals covered by the system: Private citizens employed as consultants by OHRO.

Categories of records in the system: Name, address, phone number, academic history, period of appointment, duties to be performed for OHRO.

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

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

Storage: Computer tape.

Retrievability: Resource list to be used by OHRO employees when consultants are needed. Retrievable by name.

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

Retention and disposal: Number of years held at HRA:indefinitely.

System manager(s) and address:

Administrative Officer
OHRO
5600 Fishers Lane
Rockville, Maryland 20852

Notification procedure: Same as above.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Individuals, peer referrals, previous employers, meetings.

Systems exempted from certain provisions of the act: None.

09-35-0034

System name: Health manpower inventories and surveys. HEW/HRA/NCHS.

Security classification: None.

System location:

Center Building
3700 East-West Highway
Hyattsville, Maryland 20782

Categories of individuals covered by the system: Individuals trained in specific health occupation, such as dentists, nurses, pharmacists, optometrists, dental hygienists, and other providers of health care services.

Categories of records in the system: Statistical records containing information on educational attainment, place of education, activity status, place and setting of employment or practice, place of residence, date of birth, sex, and marital status.

Authority for maintenance of the system: Public Health Service Act Section 306(b) (42 U.S.C. 242k).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The data are made available to Health Systems Agencies and the State Agency designated under P.L. 93-641 for statistical purposes only for developing and evaluating health plans and to the Bureau of Health Manpower for providing information and analyses that could be used in developing alternative strategies for the education of health manpower. The data are also disseminated for purpose of statistical

research and analysis outside DHEW in forms which do not permit the identification of individuals, such as publication of statistical tables, specially requested tables, and public use magnetic tapes. These are communicated to interested persons outside DHEW, such as members of Congress, other executive branch agencies, professional associations, universities, States, cities, private foundations, etc. The statistical summaries are used by health manpower researchers, legislators, statisticians and concerned citizens to evaluate the Nation's health manpower resources, make determinations on needs for legislation, new health manpower training program, and the like. Data collection, processing, and analysis are from time to time conducted for NCHS by private contractors, under guarantees by the contractor of confidentiality. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: The records are transferred onto magnetic tapes with name and address information and are maintained for an indefinite period.

Retrievability: Name and address, date of the inventory or survey, and other identifiers permit the retrieval of a computer record of the individual's information contained on magnetic tape. Original records of information are reviewed by the contractor and/or NCHS staff for accuracy, edited, and data with personal identifier (such as name and address) are transferred to magnetic tape. The records are then matched by personal identifiers to produce an unduplicated file of individuals in a health occupation. The original records are then stored at either the State licensing boards, with the health professions association, or at the NCHS data processing center in Research Triangle Park, North Carolina. The tape is used for statistical purposes only. These uses include the preparation of aggregated data in the form of statistical tables for publication, analysis, and interpretation to meet legislative mandates of P.L. 93-353, such as an annual report on health resources, including a description and analysis of the statistics included under Section 306(b)(1)(G). In addition, probability samples of individuals are selected by NCHS for statistical research purposes. Tables, magnetic tapes, and statistical samples of individuals are provided for statistical purposes only to the Bureau of Health Manpower for their use in determining health manpower scarcity areas, for loan forgiveness, and developing and evaluating educational and training programs for health manpower. Users consist of health manpower researchers, planners and statisticians.

Safeguards: All employees of NCHS, as a condition of employment, sign an affidavit binding them to nondisclosure of identifiable individuals information. Agreements are also obtained from the recipients of individual identifiable data described above which bind them to nondisclosure of information which permits the identification of individuals and limits the use of the data to statistical research and analysis. Similarly, as a provision of the contract, a contractor acting as a data collection and processing agent of NCHS assures that the confidentiality of the records will be maintained.

Retention and disposal: The original records are retained in the offices of national professional associations and/or State boards of licensure, or the NCHS data processing facility until the process of conversion to magnetic tape and verification of information is completed and a subsequent inventory or survey is initiated. For these reasons the records may be retained for a period of up to five years before disposal.

System manager(s) and address:

Director
National Center for Health Statistics, HRA
Center Building
3700 East-West Highway
Hyattsville, Maryland 20782

Notification procedure: None.

Record access procedures: None.

Contesting record procedures: None.

Record source categories: Health practitioners, state licensing agencies, or professional associations.

Systems exempted from certain provisions of the act: With respect to this system of records, exemption has been granted from the requirements contained in subsections 552a(c)(3), (d)(1) through (4), and (e)(4)(G) and (H) in accordance with the provision of subsection 552a(k)(4) of the Privacy Act of 1974. The reason that the system has been exempted is that this system contains only records required by statute to be maintained and used solely as statistical records.

09-35-0035

System name: Vital Statistics for births, deaths, fetal deaths, marriages and divorces occurring in the United States during each year. HEW/HRA/NCHS.

Security classification: None.

System location:

Center Building
3700 East-West Highway
Hyattsville, Maryland 20782

Categories of individuals covered by the system: Individuals who are born and their parents; individuals who die; individuals who are married or divorced; and parents experiencing fetal deaths.

Categories of records in the system: The records include microfilm images of State records or machine-readable data prepared by the State from records collected under the laws of each State for births, deaths, fetal deaths, marriages and divorces. The records contain the demographic characteristics of individuals associated with each event. In addition, the birth records include information on the characteristics of each live birth, the health status of the infant, and socioeconomic characteristics of the parents. The death records contain medical information relating to cause of death and to socioeconomic characteristics of the deceased; the fetal death record contains medical information relating to cause of death and socioeconomic characteristics of the parents. Marriages and divorces include demographic and socioeconomic characteristics of both parties to the event and legal information regarding the event.

Periodically the National Center for Health Statistics conducts followback surveys, collecting information on random samples of births and deaths through mail questionnaires. The followback surveys are designed primarily to expand the scope of data that can be collected from the national registration system, to make the registration system more responsive to changing needs for data, and to evaluate the quality of data collected on the birth and death records. The content of questionnaires for the followback surveys varies. Past surveys have collected information on such topics as hospital utilization in the last year of life, smoking habits of the deceased, health status of infants, and pregnancy and employment histories of mothers.

Authority for maintenance of the system: Public Health Service Act Section 306(h) (42 USC 242 k).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The processed data are disseminated for public use in forms that do not permit identification of individuals, such as published statistical tables, special unpublished tabulations, and public use computer tapes, which carry no individual identifiers. They are used by members of Congress and their staffs, other executive branch agencies, State and city governments, public and private research institutions, life insurance companies, faculty and students of universities, physicians, workers in health information, newspaper reporters and feature writers, etc. The findings are used to make determinations on needs for legislation, appropriations, and programs in the health field; to pinpoint health problems, measure progress of national health programs, and make population estimates; for epidemiological studies, marketing research, sociological studies, and studies of the family; and for other research directed at understanding our society. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that

Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: The records are transferred onto magnetic tapes without name and address information and are maintained on magnetic tapes for an indefinite period.

Retrievability: The State file number is assigned to each record on magnetic tape linking it to the original certificate on file in the State vital statistics office. Data from the microfilm copies of certificates of births, deaths, fetal deaths, marriages and divorces submitted by some States are transferred to magnetic tape in coded form (without names or addresses) and are merged with the machine-readable data tapes furnished by States providing data through the Cooperative Health Statistics System. The tape is used for statistical purposes only. These uses include the preparation of aggregated data in the form of statistical tables for publication, analysis, and interpretation, to meet the legislative mandates of Public Law 93-353, i.e., to determine the extent and nature of illness and disability of the population of the U.S., including life expectancy and levels of infant and maternal mortality, environmental and other health hazards, trends in family formation, growth, and dissolution, and other related matters. Users consist of health planners, statisticians, epidemiologists, demographers, and others concerned with the problems of health, health care, and health hazards.

Safeguards: All employees of NCHS, as a condition of employment, sign an affidavit binding them to nondisclosure of identifiable individual information. Only employees of NCHS or employees of contractors who have signed similar affidavits are permitted access to the magnetic tapes containing the certificate numbers or to the files containing the microfilm copies of the certificates. The certificate numbers of the individual records and the geographic code identification of cities with less than 250,000 population are removed before the data tapes are released for public use. No identifying number appears on the public use tape that would link a record on that tape to any individual, to the NCHS master tape, to the microfilm file, or to the original certificate in the State vital statistics office.

Retention and disposal: The microfilm copies of the records are retained in office files of NCHS until the process of conversion to magnetic tape and verification of information is completed. The death records are sent to the Federal Records Center ten years after tabulation for deaths occurring during the three-year period surrounding census years and one year after tabulation for other years. They are held until disposed of, 15 years after tabulation for deaths of the censal years, and five years after tabulation for other years. Records of births, fetal deaths, marriages, and divorces are disposed of two years after tabulation. The questionnaires for the followback surveys are destroyed after conversion to magnetic tape, tabulation, and analyses have been completed.

System manager(s) and address:

Director
National Center for Health Statistics, HRA
Center Building
3700 East-West Highway
Hyattsville, Maryland 20782

Notification procedure: None.

Record access procedures: None.

Contesting record procedures: None.

Record source categories: Vital statistics records are obtained from state vital statistics offices or, in rare instances, from other state or county repositories of marriage or divorce data. Information in follow-back surveys is obtained from hospitals, physicians, or relatives of the infants or the deceased.

Systems exempted from certain provisions of the act: With respect to this system of records, exemption has been granted from the requirements contained in subsections 552a(c)(3), (d)(1) through (4), and (e)(4)(G) and (H), in accordance with the provision of subsection 552a(k)(4) of the Privacy Act of 1974. The reason that the system has been exempted is that this system contains only records required by statute to be maintained and used solely as statistical records.

09-35-0037

System name: Dental Residency Program -- HEW/HRA/BHM.

Security classification: None.

System location:

Center Building
Room 3-22
3700 East-West Highway
Hyattsville, Maryland 20782
and Regional Federal Records Center

Categories of individuals covered by the system: Commissioned dental officers of the PHS and other dental officers of the uniformed services.

Categories of records in the system: Name, address,, title of project, date and place where residency was conducted.

Authority for maintenance of the system: Public Health Service Act Section 301 (42 U.S.C. 241).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: File jacket.

Retrievability: This system is used as a record of previous research projects for Board review and approval. Retrieval is alphabetical by name of resident in training.

Safeguards: Locked file cabinet - key retained in Division Security vault.

Retention and disposal: Number of years held at HRA: 3. Number of years held at Federal Records Center before disposal: 3.

System manager(s) and address:

Director
Division of Dentistry, BHM
Center Building
Room 3-22
3700 East-West Highway
Hyattsville, Maryland 20782

Notification procedure: Same as above.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Residency Training Applicant.

Systems exempted from certain provisions of the act: None.

09-35-0041

System name: Health Resources Utilization Statistics. DHEW/HRA/NCHS.

Security classification: None.

System location:

Center Building
3700 East-West Highway
Hyattsville, Maryland 20782

Categories of individuals covered by the system: Recipients of medical care included in statistical surveys and reports of the National Center for Health Statistics (NCHS), including: (1) staff and residents of nursing homes selected by random sampling techniques to be representative of nursing homes in the U.S.; (2) physicians providing office based medical care and patients visiting such

physicians; (3) medical records from selected short-stay hospitals; and (4) persons visiting the family planning facilities participating in the National Reporting System for Family Planning Services.

Categories of records in the system: Statistical records containing information on: (1) the utilization of nursing home care through data on residents (demographic and social characteristics, health status, and charges paid for care) and the facility (general characteristics, certification, services offered, and expense); (2) the demographic characteristics, medical and other problems of persons visiting physicians' offices, and the physicians' diagnoses, treatment, and disposition decisions made during such visits as obtained from physicians during randomly assigned one-week survey periods; (3) the demographic characteristics, administrative information (admission and discharge dates, discharge status, and medical record number), and medical information (diagnoses and surgical procedures abstracted from the face sheet of short stay hospital medical records); and (4) family planning medical services provided by the clinics participating in a nationwide sample survey reporting system, the demographic and socioeconomic characteristics, including education and welfare status, of the recipients of these services, and the extent to which these services (excluding physicians' offices) are funded by Federal grants. In many cases, these records do not contain individual identifiers when they come under control of the National Center for Health Statistics; they carry only sequence numbers, which only the originating agency would be able to translate into a personal identifier--and even then, not in all cases. Names of residents and staff of nursing homes and patients of physicians are listed on separated forms for sampling purposes only and are not included in the final statistical records.

Authority for maintenance of the system: Public Health Service Act, Section 306(b)(42 U.S.C. 242k).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The data are disseminated for: (1) purposes of statistical research and analysis, and in the case of family planning statistics, for executing national family planning programs; (2) outside of DHEW in forms which do not permit the identification of individuals, such as publications of statistical tables, specially requested tabulations, and public use computer tapes. These are communicated to interested persons outside DHEW, such as members of Congress and their staffs, other executive branch agencies, universities and medical schools, State and local health planning agencies, private foundations, etc. The findings are used by demographers, sociologists, health statisticians, epidemiologists, medical educators, health planners, other scholars, and concerned citizens, to evaluate health matters, make determinations on needs for legislation, appropriations, new service programs, and the like. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: The records are transferred onto magnetic tapes without name and address information and are maintained on magnetic tapes for an indefinite period.

Retrievability: Data are retrieved by individual identifier only in the editing stage of data processing and only for the purpose of correcting errors in the recording of information. Original survey records are reviewed for accuracy and edited, then data (without personal identifiers such as name or social security number) are transferred to magnetic tape. The original records are stored at the Federal Records Center. The tape is used for statistical purposes only, as specified by statute, Section 308(d) of Public Law 93-353. These uses include the preparation of aggregated data in the form of statistical tables for publication, analysis and interpretation to meet the legislative mandates of Public Law 93-353, i.e., collection of statistics on the utilization of health services, including the utilization of: (1) nursing home facilities to determine levels of illness and disability, effects on the institutionalized population, and the costs of care; (2) ambulatory health services by specialties and types of practice of the health professionals providing such services; (3) short-stay hospitals to determine characteristics of patients, length of stay, diagnosis and surgical operations, and patterns of use of care in hospitals of different size and ownership; (4) family planning facilities to provide statistics on the size of and services dispensed by these facilities, the numbers and characteristics of family planning patients, the overall proportion of the 'target population' which is being reached by family planning programs on a national scale, and the like. The family planning data are distributed to the Deputy Assistant Secretary for Population Affairs, DHEW, the Bureau of Community Health Services, and others for the purpose of executing national family planning programs.

Safeguards: All employees of the National Center for Health Statistics, as a condition of employment, sign an affidavit binding them to nondisclosure of identifiable individual information. Since the magnetic data tapes have no name and address information, users of the tape could only identify specific individuals by relating the identification number on the tape to the original record. Only employees of NCHS, NCHS contractors, the agency supplying the information in the first instance, or third parties with the written permission of the agency supplying the information are permitted access to the magnetic tapes with the identifying numbers described above or to the files containing the original reporting instruments. Magnetic tapes with identification numbers removed are made available to the public for statistical uses.

Retention and disposal: The original records are retained in office files of NCHS or NCHS contractors for two years. The procedure for family planning records differs in that the original documents are retained in office files for only two months. In all instances, the original records are then sent to the Federal Records Center where they are stored for five years.

System manager(s) and address:

Director, National Center for Health Statistics, HRA
Center Building
3700 East-West Highway
Hyattsville, Maryland 20782

Notification procedure: None.

Record access procedures: None.

Contesting record procedures: None.

Record source categories: Hospitals, physicians, clinics, nursing homes, and other providers of health care.

Systems exempted from certain provisions of the act: With respect to this system of records, exemption has been granted from the requirements contained in Subsections 552a, (c)(3), (d)(1) through (4), and (e)(4)(G) and (H), in accordance with provisions of Subsections 552a (k)(4) of the Privacy Act of 1974. The reason for this exemption is that this system contains only records required by statute to be maintained and used solely as statistical records.

09-35-0042

System name: Transfer of U.S. Students in Foreign Medical Schools to U.S. Schools-DHEW/HRA/BHM

Security classification: None.

System location:

International Programs Staff
Division of Medicine
Bureau of Health Manpower
Center Building, 4th Floor
3700 East-West Highway
Hyattsville, Md. 20782

Contractor location will be available upon request directed to the System Manager.

Categories of individuals covered by the system: Citizens of the United States enrolled in foreign medical schools before October 12, 1976.

Categories of records in the system: Applications from U.S. citizens enrolled in foreign medical schools who wish to be identified by the Secretary for transfer to U.S. medical schools, copies of birth certificates and naturalization papers.

Authority for maintenance of the system: Section 771(b)(3) of the Public Health Service Act (42 U.S.C. 295f-1) as amended by The Health Professions Educational Assistance Act of 1976, Pub. L 94-484.

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

plates that it will contract with a private organization for the purpose of 'matching' eligible students with the medical schools to which they have applied. Relevant records will be disclosed to such contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records. Disclosure may be made to U.S. medical schools which apply for capitation grants under section 770 of the Public Health Service Act, as amended by the Health Professions Educational Assistance Act of 1976. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manual files and computer tape.

Retrievability: Data will be retrieved by student name or assigned ID number. The records in this system will be used: (1) to identify citizens of the United States who are enrolled in foreign medical schools and are eligible to transfer to United States medical schools under the provisions of section 771 of the Public Health Service Act, as amended by the Health Professions Educational Assistance Act of 1976; (2) to 'match' eligible students with those United States medical schools which apply for 'capitation' grants under section 770 of the Public Health Service Act, as amended by the Health Professions Educational Assistance Act of 1976.

Safeguards: Manual files in this system of records will be stored in locking file units. Only authorized personnel will have access to application materials. For computerized records, safeguards established in accordance with Departmentment standards and National Bureau of Standards guidelines (e.g. security codes) will be used, limiting access to authorized personnel.

Retention and disposal: The records in this system will be held by the Health Resources Administration for three years, the full length of the enabling legislation. They will then be held at the Federal Records Center for three additional years before disposal.

System manager(s) and address:

Chief, International Programs Staff
Division of Medicine
Bureau of Health Manpower
Center Building, 4th Floor
3700 East-West Highway
Hyattsville, Maryland 20782

Notification procedure:

Chief, International Programs Staff Division of Medicine
Bureau of Health Manpower
Center Building
4th Floor
3700 East-West Highway
Hyattsville, Maryland 20782
Information needed consists of name of applicant. This notification procedure is in accordance with the Department Regulations, as published in the Federal Register of October 8, 1975, page 4710 (45 CFR, Part 5b.5).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with the Department Regulations (45 CFR, Part 5b.5(a)(2) Federal Register, October 8, 1975, page 47410.)

Contesting record procedures: Write to the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Part 5b.7) Federal Register, October 8, 1976, page 47411.)

Record source categories: The student applicants will provide most of the information in this system directly to the International Programs Staff. The remainder of the data will be provided by U.S. medical schools in those instances when student applicants are admitted directly to the schools without sending applications to the International Programs Staff. The schools will provide this data in order to receive credit toward receipt of 'capitation' grants.

Systems exempted from certain provisions of the act: None.

09-35-0043

System name: Curricula Vitae of Consultants to the National Center for Health Statistics (NCHS DHEW/HRA/NCHS).

Security classification: None.

System location:

Center Building
3700 East-West Highway
Hyattsville, Maryland 20782
In offices of contractors employed to develop and maintain curricula vitae on consultants to NCHS. Contractor location will be available upon request directed to the System Manager.

Categories of individuals covered by the system: Persons who are current or potential consultants to NCHS. These are persons with special expertise who may be able to assist NCHS on a consultant basis in the planning and conducting of surveys, studies, statistical reporting programs, statistical analyses of data, or in providing training and technical assistance, or assisting in conducting conferences.

Categories of records in the system: Information relating to the professional training and experience of the consultant. This includes address, current position, employer, duties, place, time, and length of education, degrees received, honors received, former positions and work experiences, memberships in professional organizations, special committee and task force assignments, offices held, publications, references, health condition, availability for, and interest in travel and accepting certain assignemtns, compensation required, etc.

Authority for maintenance of the system: Public Health Service Act, Section 304(b) (42 U.S.C. 242b).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The following routine uses from Appendix B of the Department Regulations (45 CFR Part 5b) published in the Federal Register, October 8, 1975, page 47415, are applicable to this system of records:

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

(2) Where federal agencies having the power to subpoena other federal agencies records, such as the Internal Revenue Service or the Civil Rights Commission, issue a subpoena to the Department for records in this system of records, the Department will make such records available.

(3)The Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in contractor shall be required to maintain Privacy Act safeguards with respect to such records.

(100) To the Department of Justice or other appropriate Federal agencies in defending claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual.

(101) To individuals and organizations, deemed qualified by the Secretary to carry out specific research solely for the purpose of carrying out such research.

(102) To organizations deemed qualified by the Secretary to carry out quality assessments, medical audits or utilization review. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the

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

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

Storage: The information is contained on paper records although computer-readable tape may be employed in the future.

Retrievability: Information is retrieved by name, address, specialty, and by other characteristics. The data is used by staff of NCHS or its contractors for selecting consultants to assist in projects or conducted or sponsored by NCHS.

Safeguards: Records are kept in locked metal cabinets or in a locked room when not in use. Records will be used only by staff authorized to use them for the purpose for which they were obtained. For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines (e.g. security codes) will be used, limiting access to authorized personnel.

Retention and disposal: Records are maintained indefinitely. Records may be removed and destroyed upon the consultant's death, disability for consultant work, or request that his/her records be removed from the file.

System manager(s) and address:

Director, National Center for Health Statistics
Health Resources Administration
Center Building
3700 East-West Highway Hyattsville, Maryland 20782

Notification procedure:

Director, National Center for Health Statistics
Health Resources Administration
Center Building
3700 East-West Highway
Hyattsville, Maryland 20782
Information needed consists of name of individual. This notification procedure is in accordance with the Department Regulations, as published in the Federal Register of October 8, 1975, page 4710 (45 CFR, Part 5b.5).

Record access procedures: Same as notification procedures. Requestors should also reasonably specify the record contents being sought. (These access procedures are in accordance with the Department Regulations (45 CFR, Part 5b.5(a)(2) Federal Register, October 8, 1975, page 47410).

Contesting record procedures: Write to the Official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Part 5b.7) Federal Register, October 8, 1975, page 47411).

Record source categories: Records are obtained from the consultants themselves, except that references may be obtained from present and former employers or supervisors of the consultants, or from individuals given as references by the consultants.

Systems exempted from certain provisions of the act: None. /*

09-15-0001

System name: Division of Federal Employee Health, Employee Health Records HEW/HSA/BMS.

Security classification: None.

System location: See Appendix and Regional Federal Records Center.

Categories of individuals covered by the system: Federal employees enrolled in PHS/DFEH Health Units.

Categories of records in the system: Health records.

Authority for maintenance of the system: 5 USC 7901, 5 USC 8101, OMB Circular No. A-72.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Purpose: Access to those files of persons claiming compensation benefits due to personal injury while on the job. Certain records may be disclosed to medical laboratories, medical consultants, or computer processing firms under a service contract agreement. In the event of a change in sponsorship of a PHS/DFEH health care unit or in a case of mass transfer of employees covered by a PHS/DFEH health care unit to one served by a non-departmental organization, the health records will be transferred to the custodianship of the new organization. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected. Users: U. S. Department of Labor, Office of Worker's Compensation Program.

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

Storage: Folders.

Retrievability: Purpose: employees are provided occupational health services (on a voluntary basis). The data resulting from these services are included in the employee health records. Users: physicians, nurses, other health professionals. Retrievability: alphabetically by last name.

Safeguards: Stored in locked cabinets; access limited to authorized personnel.

Retention and disposal: Number of years held at HSA - Period of service or 6 years if inactive. How destroyed: shredded and disposed if inactive more than 6 years.

System manager(s) and address:

Director, Division of Federal Employee Health
FOB 03, 6525 Belcrest Road
Hyattsville, Maryland 20782

Notification procedure: Same as above. Individuals must provide treatment location. An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: See appendix for appropriate address. An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2) and 5b.6) Federal Register, October 8, 1975, page 47410 and 47411.).

Contesting record procedures: Write to the official at the appropriate address specified in the appendix, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Data resulting from the clinical and preventive services offered by the PHS/DFEH Health Unit and data obtained from individual.

Systems exempted from certain provisions of the act: None.

Appendix Location and Access

Washington, D.C. area
Medical Officer in Charge
PHS/DFEH Health Unit
Energy Research and Development Administration
Room A-075
Germantown, Maryland 20767

Nurse in Charge
PHS/DFEH Health Unit
Brown Building, Room 559
1200 - 19th Street, NW
Washington, D.C. 20036

Medical Officer in Charge
PHS/DFEH Health Unit

Bureau of Engraving & Printing
Room 320
14th and C Streets, SW
Washington, D.C. 20226

Nurse in Charge
PHS/DFEH Health Unit
Capitol Mall North Building
Room 325
500 N. Capitol Street, NW
Washington, D.C. 20549

Nurse in Charge
PHS/DFEH Health Unit
Columbia Plaza Bldg., Rm. 4061
2401 E Street, NW
Washington, D.C. 20506

Nurse in Charge
PHS/DFEH Health Unit
E Street Building, Rm. 908
1201 E Street, NW
Washington, D.C. 20226

Nurse in Charge
PHS/DFEH Health Unit
Federal Office Bldg. 06, Rm. A-039
400 Maryland Avenue, SW
Washington, D.C. 20202

Nurse in Charge
PHS/DFEH Health Unit
FOB 07, New Executive Office Bldg.
Room 6101
726 Jackson Place, NW
Washington, D.C. 20503

Nurse in Charge
PHS/DFEH Health Unit
Federal Office Bldg. 08, Room 1010
200 C Street, SW
Washington, D.C. 20204

Nurse in Charge
PHS/DFEH Health Unit
Franconia Warehouse, Bldg. A
Federal Supply Service, GSA
Springfield, Virginia 22150

Nurse in Charge
PHS/DFEH Health Unit
Franklin Square North Building
Room 824
1325 K Street, NW
Washington, D.C. 20225

Medical Officer in Charge
PHS/DFEH Health Unit
General Accounting Office Building
Room 1455
441 G Street, NW
Washington, D.C. 20548

Nurse in Charge
PHS/DFEH Health Unit
GSA Main Building, Rm. 1008
18th and F Streets, NW
Washington, D.C. 20405

Nurse in Charge
PHS/DFEH Health Unit
GSA Region III Building, Rm. 4114
7th and D Streets, SW
Washington, D.C. 20407

Medical Officer in Charge
PHS/DFEH Health Unit
HEW-North Building, Rm. 1165-A
4th Street & Independence Avenue, SW
Washington, D.C. 20201

Medical Officer in Charge
PHS/DFEH Health Unit
HEW-Switzer Bldg., Rm. 3050
4th and C Streets, SW
Washington, D.C. 20201

Medical Officer in Charge
PHS/DFEH Health Unit
Dept. of Housing & Urban Development
Room 7239
7th and D Streets, SW
Washington, D.C. 20410

Nurse in Charge
PHS/DFEH Health Unit
Imperial Building, Room 202
1441 L Street, NW
Washington, D.C. 20416

Medical Officer in Charge
PHS/DFEH Health Unit
Internal Revenue Service Bldg.
Room 1302
12th and Constitution Avenue, NW
Washington, D.C. 20224

Nurse in Charge
PHS/DFEH Health Unit
Justice Department Main Bldg.
Room 1410
10th and Constitution Avenue, NW
Washington, D.C. 20530

Nurse in Charge
PHS/DFEH Health Unit
U.S. Customs Service Bldg., Rm. 5126
14th and Constitution Avenue, NW
Washington, D.C. 20210

Nurse in Charge
PHS/DFEH Health Unit
810 Vermont Avenue, NW
Washington, D.C. 20420

Nurse in Charge
PHS/DFEH Health Unit
Liberty Loan Building, Room 546
(Check Claims Division)
401 - 14th Street, SW
Washington, D.C. 20226

Nurse in Charge
PHS/DFEH Health Unit
'M' Street 02 Building (F.C.C.)
Room 529
1919 'M' Street, NW
Washington, D.C. 20554

Nurse in Charge
'M' Street Building
Room 2121
2000 'M' Street, NW
Washington, D.C. 20461

Nurse in Charge
PHS/DFEH Health Unit
Maiatico Building, Room 1220
806 Connecticut Avenue, NW
Washington, D.C. 20525

Nurse in Charge
PHS/DFEH Health Unit
Matomic Building (USIA)
Room 433
1717 H Street, NW
Washington, D.C. 20547

Nurse in Charge
PHS/DFEH Health Unit
National Archives & Records Service
Room G-2

8th and Pennsylvania Avenue, NW
Washington, D.C. 20408

Nurse in Charge
PHS/DFEH Health Unit
National Labor Relations Board Bldg.
Room 360
1717 Pennsylvania Avenue, NW
Washington, D.C. 20570

Nurse in Charge
PHS/DFEH Health Unit
National Technical Information Service
Room 1225
5285 Port Royal Road
Springfield, Virginia 22161

Nurse in Charge
PHS/DFEH Health Unit
Northwestern Federal Bldg., Rm. 700
1405 'I' Street, NW
Washington, D.C. 20537

Nurse in Charge
PHS/DFEH Health Unit
One McPherson Square Bldg., Rm. 1040
1425 K Street, NW
Washington, D.C. 20525

Medical Officer in Charge
PHS/DFEH Health Unit
Parklawn Building, Room 5B-16
5600 Fishers Lane
Rockville, Maryland 20857

Nurse in Charge
PHS/DFEH Health Unit
Patrick Henry Bldg., Room 5509
601 D Street, NW
Washington, D.C. 20213

Medical Officer in Charge
PHS/DFEH Health Unit
Phillips Building, Room P-132
7920 Norfolk Avenue
Bethesda, Maryland 20545

Nurse in Charge
PHS/DFEH Health Unit
Public Debt Bldg., Room 709
13th and C Streets, SW
Washington, D.C. 20226
Nurse in Charge
PHS/DFEH Health Unit
Rock-Wall Building, Room 729
11400 Rockville Pike
Rockville, Maryland 20852

Nurse in Charge
PHS/DFEH Health Unit
Thomas Circle - South Building
Room 605
1121 Vermont Avenue, NW
Washington, D.C. 20425

Nurse in Charge
PHS/DFEH Health Unit
Todd Building, Room 803
550 - 11th Street, NW
Washington, D.C. 20530

Nurse in Charge
PHS/DFEH Health Unit
Treasury Dept. - Main Building
Room 1445
15th and Pennsylvania Avenue, NW
Washington, D.C. 20220

Nurse in Charge
PHS/DFEH Health Unit
Twinpark Building 01, Suite 142
12720 Twinbrook Parkway
Rockville, Maryland 20852

Nurse in Charge
PHS/DFEH Health Unit
Union Center Plaza, Room 3101
825 North Capitol Street, NE
Washington, D.C. 20426

Nurse in Charge
PHS/DFEH Health Unit
Universal Building North
Room 540 (CAB Mail Room)
1875 Connecticut Avenue, NW
Washington, D.C. 20428

Nurse in Charge
PHS/DFEH Health Unit
U.S. Tax Court Bldg., Room G-64
400 Second Street, NW
Washington, D.C. 20217

Nurse in Charge
PHS/DFEH Health Unit
Washington National Records Center
Room 126
Washington, D.C. 20409

Nurse in Charge
PHS/DFEH Health Unit
U. S. Geological Survey National Center
Room 1B-418
12201 Sunrise Valley Drive
Reston Virginia 22092

Nurse in Charge
PHS/DFEH Health Unit
Richmond Federal Building
Room 1210
400 North Eight Street
Richmond, Virginia 23240

Nurse in Charge
PHS/DFEH Health Unit
Federal Center Building 02
Room 1-17
3700 East-West Highway
W. Hyattsville, Maryland 20782

Nurse in Charge
PHS/DFEH Health Unit
HEW South Portal Building
Room 215G
200 Independence Avenue, S.W.
Washington, D.C. 20201

Nurse in Charge
PHS/DFEH Health Unit
Federal Trade Commission Building
Room 105
6th and Pennsylvania Avenue, N.W.
Washington, D.C. 20580

Nurse in Charge
PHS/DFEH Health Unit
Federal Depot
Basement
2800 Eastern Avenue
Middle River, Maryland 21220

Nurse in Charge
PHS/DFEH Health Unit
Union Center Plaza North Building
Room 6302
941 North Capitol Street, N.E.
Washington, D.C. 20426

Alaska

Nurse in Charge
PHS/DFEH Health Unit

Federal Building
Box A-69
709 West 9th Street
Juneau, Alaska 99802

Arizona

Nurse in Charge
PHS/DFEH Health Unit
Federal Building - Room 3400
230 North 1st Avenue
Phoenix, Arizona 85003

Arkansas

Nurse in Charge
PHS/DFEH Health Unit
Federal Office Building
700 West Capital Street
Little Rock, Arkansas 72201

California

Nurse in Charge
PHS/DFEH Health Unit
Federal Building and Courthouse
Room 2304
1130 O Street
Fresno, California 93721

Medical Officer in Charge
PHS/DFEH Health Unit
New Federal Building, Room 5008
300 N. Los Angeles Street
Los Angeles, California 90012

Medical Officer in Charge
PHS/DFEH Health Unit
U.S. Courthouse, Room 1005
312 N. Spring Street
Los Angeles, California 90012

Nurse in Charge
PHS/DFEH Health Unit
U.S. Courthouse and Federal Bldg.
Room 6515
650 Capitol Mall
Sacramento, California 95814

Nurse in Charge
PHS/DFEH Health Unit
FOB-Cottage Way, Room E-1720
2800 Cottage Way
Sacramento, California 95825

Medical Officer in Charge
PHS/DFEH Health Unit
New Federal Building
Room 5210, Box 36115
450 Golden Gate Avenue
San Francisco, California 94102

Nurse in Charge
PHS/DFEH Health Unit
Tishman Building, 32nd Floor
525 Market Street
San Francisco, California 94105

Nurse in Charge
PHS/DFEH Health Unit
Appraisers Stores Building
Room 1123
630 Sansome Street
San Francisco, California 94111

Nurse in Charge
PHS/DFEH Health Unit
Federal Office Building, Room 40
50 United Nations Plaza
San Francisco, California 94102

Nurse in Charge
PHS/DFEH Health Unit
Federal Building & Custom House
Room 1519
300 South Ferry Street
Terminal Island
San Pedro, California 90731

Nurse in Charge
PHS/DFEH Health Unit
Federal Building - Room 619
34 Civic Center Plaza
Santa Ana, California 92701

Nurse in Charge
PHS/DFEH Health Unit
Federal Building - Room 2N4
6230 Van Nuys Boulevard
Van Nuys, California 91408

Colorado

Medical Officer in Charge
PHS/DFEH Health Unit
Denver Federal Center
Building 040
Denver, Colorado 80225

Medical Officer in Charge
PHS/DFEH Health Unit
Denver Federal Center
Building 025
Denver, Colorado 80225

Nurse in Charge
PHS/DFEH Health Unit
Federal Building & U.S. Courthouse
Room 8028
1961 Stout Street
Denver, Colorado 80202

Connecticut

Nurse in Charge
PHS/DFEH Health Unit
Federal Building and U.S. Courthouse
Room G-1
450 Main Street
Hartford, Connecticut 06103

Florida

Nurse in Charge
PHS/DFEH Health Unit
Federal Office Building, Room 1310
51 S.W. First Avenue
Miami, Florida 33130

Nurse in Charge
PHS/DFEH Health Unit
Federal Building and U.S. Courthouse - Roo
80 N. Hughey Avenue
Orlando, Florida 32801

Georgia

Medical Officer in Charge
PHS/DFEH Health Unit
Peachtree-7th Street Bldg., Rm. 517
50 - 7th Street, NE
Atlanta, Georgia 30323

Medical Officer in Charge
PHS/DFEH Health Unit
Room 535
730 Peachtree Street, NE
Atlanta, Georgia 30308

Medical Officer in Charge
PHS/DFEH Health Unit
Room 218

1371 Peachtree Street, NE
Atlanta, Georgia 30309

Medical Officer in Charge
PHS/DFEH Health Unit
Room 910
1720 Peachtree Street, NW
Atlanta, Georgia 30309

Medical Officer in Charge
PHS/DFEH Health Unit
Room 155
1776 Peachtree Street, NW
Atlanta, Georgia 30309

Nurse in Charge
PHS/DFEH Health Unit
DCASR - Room 211
805 Walker Street
Marietta, Georgia 30060

Idaho

Nurse in Charge
PHS/DFEH Health Unit
Federal Building & Courthouse
Box 014, Room 379
550 West Fort Street
Boise, Idaho 83724

Illinois

Medical Officer in Charge
PHS/DFEH Health Unit
Everett McKinley Dirksen Building
Room 1419
219 South Dearborn Street
Chicago, Illinois 60604

Nurse in Charge
PHS/DFEH Health Unit
Federal Building - Room 187
536 South Clark Street
Chicago, Illinois 60605

Nurse in Charge
PHS/DFEH Health Unit
Wacker Building, Room 2046
300 South Wacker Drive
Chicago, Illinois 60606

Nurse in Charge
PHS/DFEH Health Unit
John C. Kluczynski Federal Bldg.
Room 360
230 S. DEarborn Street
Chicago, Illinois 60604

Indiana

Nurse in Charge
PHS/DFEH Health Unit
Federal Building - Room 614
575 Pennsylvania Street
Indianapolis, Indiana 46204

Iowa

Nurse in Charge
PHS/DFEH Health Unit
Federal Office Building, Room 711
210 Walnut Street
Des Moines, Iowa 50309

Kentucky

Nurse in Charge
PHS/DFEH Health Unit
P.O. Box 267
Covington, Kentucky 41012

Louisiana

Nurse in Charge
PHS/DFEH Health Unit
Hale Boggs Federal Building and U.S. Courthouse
500 Camp Street
New Orleans, Louisiana 70130

Nurse in Charge
PHS/DFEH Health Unit
Federal Office Building
600 South Street
New Orleans, Louisiana 70130

Massachusetts

Nurse in Charge
PHS/DFEH Health Unit
Post Office & Court House Building
Room 1805
Boston, Massachusetts 02109

Medical Officer in Charge
PHS/DFEH Health Unit
John F. Kennedy Building, Room E-120
Government Square
Boston, Massachusetts 02203

Nurse in Charge
PHS/DFEH Health Unit
Waltham Federal Center
424 Trapelo Road
Waltham, Massachusetts 02154

Michigan

Nurse in Charge
PHS/DFEH Health Unit
Federal Office Building and U.S. Courthouse, Rm. 1050
231 W. Lafayette Street
Detroit, Michigan 48226

Nurse in Charge
PHS/DFEH Health Unit
Patrick V. McNamara Federal Bldg.
Room 1170
447 Michigan Avenue
Detroit, Michigan 48226

Minnesota

Nurse in Charge
PHS/DFEH Health Unit
Federal Office Building, Rm. 248
Fort Snelling, Minnesota 55111

Nurse in Charge
PHS/DFEH Health Unit
Federal Building & U.S. Courthouse
Room 167
316 Robert Street
St. Paul, Minnesota 55101

Missouri

Medical Officer in Charge
PHS/DFEH Health Unit
Federal Office Building, Rm. 1211
911 Walnut Street
Kansas City, Missouri 64106

Nurse in Charge
PHS/DFEH Health Unit
Federal Building (GSA)
Corridor 16, Sub-basement
1150 East Bannister Road
Kansas City, Missouri 64131

Medical Officer in Charge
PHS/DFEH Health Unit
Federal Building, Room 901

601 E. 12th Street
Kansas City, Missouri 64106

Nurse in Charge
PHS/DFEH Health Unit
U. S. Geological Survey Bldg.
Room 902
1400 Independence Road
Rolla, Missouri 65401

Nurse in Charge
PHS/DFEH Health Unit
210 North 12th Boulevard Building
Room 1045
210 North 12th Boulevard
St. Louis, Missouri 63101

Nurse in Charge
PHS/DFEH Health Unit
Crown Center Office Building
Room 603
2460 Pershing Road
Kansas City, Missouri 64108

Nurse in Charge
PGS/DFEH Health Unit
Federal Complex
Building MO-OSO1AE
601 Hardesty Road
Kansas City, Missouri 64124

Montana

Nurse in Charge PHS/DFEH Health Unit
Federal Building & U.S. Courthouse
316 North 26th STreet
Billings, Montana 59101

Nebraska

Nurse in Charge
PHS/DFEH Health Unit
Federal Building, Room 8408
215 N. 17th Street
Omaha, Nebraska 68102

New Jersey

Nurse in Charge
PHS/DFEH Health Unit
Building T-2
Belle Mead Depot
Belle Mead, New Jersey 08502

Nurse in Charge
PHS/DFEH Health Unit
Federal Office Building, Room 905
970 Broad Street
Newark, New Jersey 07102

New Mexico

Nurse in Charge
PHS/DFEH Health Unit
Federal Building & U.S. Courthouse
Room 5206
500 Gold Avenue, SW
Alburquerque, New Mexico 87101

New York

Medical Officer in Charge
PHS/DFEH Health Unit
Federal Building, 8th Floor
29th Street and Third Avenue
Brooklyn, New York 11232

Nurse in Charge
PHS/DFEH Health Unit
Federal Building, Room 915
111 W. Huron Street
Buffalo, New York 14202

Nurse in Charge
PHS/DFEH Health Unit
Astor Plaza Building
Room 3210
1515 Broadway
New York, New York 10036

Medical Officer in Charge
PHS/DFEH Health Unit
U.S. Customs Court & Federal Bldg.
Foley Square
26 Federal Plaza
New York, New York 10007

Nurse in Charge
PHS/DFEH Health Unit
Leo W. O'Brien Federal Building
Room B-29
Clinton Avenue & N. Pearl Street
Albany, New York 12207

Nurse in Charge
PHS/DFEH Health Unit
Federal Building & U. S. Courthouse
Room 709
100 S. Clinton Street
Syracuse, New York 13202

North Carolina

Nurse in Charge
PHS/DFEH Health Unit
Building D, Room 100
Environmental Protection Agency
Research Triangle Park, North Carolina 27711

Ohio

Nurse in Charge
PHS/DFEH Health Unit
National Institute for Occupational Safety and Health
Room SB-47
4676 Columbia Parkway
Cincinnati, Ohio 45268

Medical Officer in Charge
PHS/DFEH Health Unit
Federal Office Building, Room 1515
550 Main Street
Cincinnati, Ohio 45202

Nurse in Charge
PHS/DFEH Health Unit
Environmental Protection Agency
Room 357
26 West Saint Clair Street
Cincinnati, Ohio 45268

Nurse in Charge
PHS/DFEH Health Unit
Federal Building, Room 517
234 Summit Street
Toledo, Ohio 43604

Oklahoma

Nurse in Charge
PHS/DFEH Health Unit
Federal Building, U.S. Courthouse
200 N. W. 4th Street
Okalhoma City, Oklahoma 73101

Oregon

Nurse in Charge
PHS/DFEH Health Unit
Federal Building - Room 1173
1220 S. W. Third Avenue
Portland, Oregon 97204

Pennsylvania

Nurse in Charge
PHS/DFEH Health Unit
U.S. Customs House & Federal Building
Room 111
2nd and Chestnut Streets
Philadelphia, Pennsylvania 19106

Nurse in Charge
PHS/DFEH Health Unit
William J. Green, Jr. Federal Bldg.
Room 4306/4310
600 Arch Street
Philadelphia, Pennsylvania 19106

Nurse in Charge
PHS/DFEH Health Unit
Gateway Building, Room 1320
3535 Market Street
Philadelphia, Pennsylvania 19104

Nurse in Charge
PHS/DFEH Health Unit
Federal Office Building
12th Floor
1000 Liberty Avenue
Pittsburgh, Pennsylvania 15222

Nurse in Charge
PHS/DFEH Health Unit
Federal Building - Room 386
228 Walnut Street
Harrisburg, Pennsylvania 17108

Puerto Rico

Nurse in Charge
PHS/DFEH Health Unit
Federal Building & Courthouse, Rm. 402
Avenida Carlos Chardon
Hato Rey, Puerto Rico 00918

Tennessee

Nurse in Charge
PHS/DFEH Health Unit
Clifford Davis Federal Building
167 North Main Street
Memphis, Tennessee 38103

Texas

Medical Officer in Charge
PHS/DFEH Health Unit
Earle Cabell Federal Bldg.
Room 9-E1
1100 Commerce Street
Dallas, Texas 75242

Medical Officer in Charge
PHS/DFEH Health Unit
Federal Building, Room 13A25
819 Taylor Street at 10th
Fort Worth, Texas 76102

Medical Officer in Charge
PHS/DFEH Health Unit
Federal Center
P.O. Box 6567
Fort Worth, Texas 76115

Nurse in Charge
PHS/DFEH Health Unit
Federal Building
Room G-159
300 East 8th Street
Austin, Texas 78701

Nurse in Charge
PHS/DFEH Health Unit
Main Tower Building
Room 1201
1200 Main Street
Dallas, Texas 75202

Nurse in Charge
PHS/DFEH Health Unit
Federal Building & Courthouse
Room B-305
515 Rusk Avenue
Houston, Texas 77002
Utah

Nurse in Charge
PHS/DFEH Health Unit
Federal Office Building, Room 3103
125 South State Street
Salt Lake City, Utah 84138

Washington

Nurse in Charge
PHS/DFEH Health Unit
Arcade Plaza Building, Room 5051
1321 Second Avenue
Seattle, Washington 98101

Nurse in Charge
PHS/DFEH Health Unit
Federal Center South Building
Room 184
4735 E. Marginal Way
Seattle, Washington 98134

Nurse in Charge
PHS/DFEH Health Unit
New Federal Building, Room 570
915 Second Avenue
Seattle, Washington 98104

Nurse in Charge
PHS/DFEH Health Unit
GSA Building 010, Room 1020
15th and C Streets, SW
Auburn, WAshington 98002

Nurse in Charge
PHS/DFEH Health Unit
Federal Building & U.S. Courthouse
Room 481
920 W. Riverside Avenue
Spokane, Washington 99201

Wisconsin

Nurse in Charge
PHS/DFEH Health Unit
Federal Building & U.S. Courthouse
Room 420
517 East Wisconsin Avenue
Milwaukee, Wisconsin 53202

09-15-0002

System name: Record of Patients' Personal Valuables and Monies HEW/HSA/BMS.

Security classification: None.

System location: Financial Management offices - per appendix.

Categories of individuals covered by the system: Individuals admitted to PHS Hospital.

Categories of records in the system: Valuables and monies checked in for safe keeping.

Authority for maintenance of the system: Public Health Service Act Section 321 (42 U.S.C. 248).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of

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

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

Storage: File folders in locked safe.

Retrievability: Purpose: safe keeping of patients' valuables. Users: cashier, HEW Audit Agency. Retrievability: by name and hospital record number.

Safeguards: Physical security. Access limited to authorized employees only.

Retention and disposal: Number of years held at HSA: Until audited. Number of years held at Federal Records Center before disposal: None. How destroyed: incinerator.

System manager(s) and address:

Chief, Financial Management Branch, BMS
11th Floor, Federal Center Bldg. 03
6525 Belcrest Rd., W. Hyattsville, MD 20782

Notification procedure: Financial Management offices - as listed in appendix.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Write to the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Patient.

Systems exempted from certain provisions of the act: None.

Appendix

Address all correspondence to, Director, USPHS Hospital, attn: Chief, Financial Management, at the appropriate locations:
USPHS Hospital
3100 Wyman Park Drive
Baltimore, MD 21211

USPHS Hospital
77 Warren St.
Boston (Brighton) Mass. 02135

USPHS Hospital
Carville, La 70721

USPHS Hospital
4400 Avenue N
Galveston, Texas 77550

USPHS Hospital
210 State St.
New Orleans, La 70118

USPHS Hospital
6500 Hampton Blvd., Larchmont
Norfolk, Va 23508

USPHS Hospital
1131 14th Ave., South
Seattle, Wash., 98114

USPHS Hospital
Bay Street and Vanderbilt Avenue
Staten Island, New York 10304

USPHS Hospital
15th Ave. & Lake St.
San Francisco, Calif. 94118

09-15-0003

System name: Contract Physicians and Consultants HEW/HSA/BMS.

Security classification: None.

System location:

6525 Belcrest Road, Room 1100, Presidential Building
Hyattsville, Maryland 20782
and 9 USPH Hospitals per appendix

Categories of individuals covered by the system: Medical and allied health professionals (physicians, nurses, physical therapists, etc.) who have contracted with the Bureau of Medical Services or its Divisions to provide services to beneficiaries.

Categories of records in the system: Duplicate of original contract and personal data qualifications.

Authority for maintenance of the system: Public Health Service Act Sections 321, 322 (42 U.S.C. 248, 249).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual and in accordance with the following numbered items in Appendix B of Department regulations (42 CFR Part 5b):

(5) In the event that a system of records maintained by this agency to carry out its function indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether state or local charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto. This is in accordance with Department Regulations.

(7) Where a contract between a component of the Department and a labor organization recognized under E.O. 11491 provides that the agency will disclose personal records relevant to the organization's mission, records in this system of records may be disclosed to such organization. This is in accordance with Department Regulations. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: File Folders.

Retrievability: Purpose: Contract compliance, review of credentials, statistical and other information required to manage the program. Users: Professional and administrative staff of the Bureau of Medical Services, its Divisions and field stations. Retrievability: Name and contract number.

Safeguards: Access limited to professional and administrative staff of the Bureau of Medical Services, its Divisions and field stations who need to know in order to perform their official duties.

Retention and disposal: Number of years held at HSA - 1-3 years dependent upon renewal. Number of years held at Federal Records Center before disposal - copy not held. How destroyed: shredded.

System manager(s) and address:

Chief, General Services Branch
HEW/HSA/Bureau of Medical Services
6525 Belcrest Road, Room 1100
Hyattsville, Maryland 20782

Notification procedure:

Director, Bureau of Medical Services, Att:

Chief, General Services Branch
6525 Belcrest Road, Room 1100, Presidential Building
Hyattsville, Maryland 20782
and List as under location

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Write to the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Physicians/consultants.

Systems exempted from certain provisions of the act: None.

Appendix

Director, USPHS Hospital, attn:
General Supply Officer
3100 Wyman Park Drive
Baltimore, Maryland 21211

Director, USPHS Hospital, attn:
General Supply Officer
77 Warren Street
Boston (Brighton), Mass. 02135

Director, USPHS Hospital, attn:
General Supply Officer
Carville, Louisiana 70721

Director, USPHS Hospital, attn:
General Supply Officer
4400 Avenue N
Galveston, Texas 77550

Director, USPHS Hospital, attn:
Office Services Manager
210 State Street
New Orleans, Louisiana 70118

Director, USPHS Hospital, attn:
Supply Officer
6500 Hampton Boulevard
Norfolk, Virginia 23508

Director, USPHS Hospital, attn:
General Services Officer
15th Avenue and Lake Street
San Francisco, California 94118

Director, USPHS Hospital, attn:
General Supply Officer
1131 14th Avenue, S.
Seattle, Washington 98114

Director, USPHS Hospital, attn:
Supply Management Officer
Bay Street & Vanderbilt Avenue
Staten Island, N.Y. 10304

09-15-0004

System name: Federal Employee Occupational Health Data System HEW/HSA/BMS.

Security classification: None.

System location:

FCB 03, Room 330
6525 Belcrest Road
W.Hyattsville, Maryland 20782

Categories of individuals covered by the system: Federal employees enrolled in PHS/DFEH Health Units. (See appendix to Division of Federal Employee Health (DEFH) Employee Health Records System to determine covered employees).

Categories of records in the system: Health Records.

Authority for maintenance of the system: 5 USC 7901, 5 USC 8101, OMB Circular No. A-72.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Purpose: access to files of those persons claiming compensation benefits due to personal injury while on the job. Users: U.S. Department of Labor, Officer of Worker's Compensation Program. Certain records may be disclosed to medical laboratories, medical consultants, or computer processing firms under service contract agreement. In the event of a change in sponsorship of a PHS/DFEH health care unit or in a case of mass transfer of employees covered by a PHS/DFEH health care unit to one served by a non-departmental organization, the health records will be transferred to the custodianship of the new organization. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Magnetic tape, and disc.

Retrievability: Purpose: The system is designed to provide improved information to DFEH management while simultaneously reducing the administrative workload on the medical professionals in the health units. Users: physicians, nurses, other health professionals. Retrievability: name, SSNs which are supplied on a voluntary basis are used for retrieval.

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

Retention and disposal: Number of years held at HSA - Indefinitely or until 5 years after record becomes inactive. Purged from computer and stored on computer tape for a period of 5 years after file becomes inactive.

System manager(s) and address:

Director
Division of Federal Employee Health
FCB 03 6526 Belcrest Road
Hyattsville, Maryland 20782

Notification procedure: An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Write to the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Data resulting from the clinical and preventive services offered by the PHS/DFEH Health Units and data obtained from individual.

Systems exempted from certain provisions of the act: None.

09-15-0005

System name: Dental Research - Evaluation of restorative materials HEW/HSA/BMS.

Security classification: None.

System location:

USPHS Hospital
15th Avenue and Lake Street
San Francisco, California 94118
and Regional Federal Records Center

Categories of individuals covered by the system: Patients in PHS Hospital participating in research project.

Categories of records in the system: Dental history and treatment.

Authority for maintenance of the system: Public Health Service Act, Section 321 (42 U.S.C. 248).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Magnetic tape and file folders.

Retrievability: Purpose: study to improve dental restorative material. Users: PHS Dental researchers. Information transferred to NIH and FDA. Retrievability: patient study number.

Safeguards: Secured in locked file cabinets; only research staff has access.

Retention and disposal: Number of years held at HSA - 10 years. Number of years held at Federal Record Center before disposal - 5 years.

System manager(s) and address:

Director, USPHS Hospital
Attention: Research Coordinator
Division of Hospitals and Clinics
15th Avenue and Lake Street
San Francisco, California 94118

Notification procedure: Inquiries should be addressed to the System Manager. An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Write to the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Patient and Dental care team.

Systems exempted from certain provisions of the act: None.

09-15-0006

System name: Cooperative Research Studies System: Coronary Artery Disease HEW/HSA/BMS.

Security classification: None.

System location:

USPHS Hospital
3100 Wyman Park Dr.
Baltimore, Md. 21211

Categories of individuals covered by the system: Patients at Public Health Service Hospitals who have agreed to participate in the project.

Categories of records in the system: Medical data.

Authority for maintenance of the system: Public Health Service Act, Sections 301, 321 (42 U.S.C. 241, 248).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Purpose: research. Users: qualified research personnel with approved research protocol when no identification data are abstracted. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Documents, magnetic tape, punch cards.

Retrievability: Purpose: medical research. Users: qualified research personnel. Retrievability: name, medical record number.

Safeguards: Locked files, limited access by other than research personnel. For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines (e.g. security codes) will be used, limiting access to authorized personnel.

Retention and disposal: Retained for life of the study. Destroyed by shredding.

System manager(s) and address:

Director, Division of Hospitals and Clinics
Federal Center Bldg. 03, 6525 Belcrest Rd.
Hyattsville, Md. 20782

Notification procedure:

Director: USPHS Hospital
Attention: Chief, Cardiology Service
3100 Wyman Park, Dr.
Baltimore, Md. 21211 An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Write to the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Patient and medical care system.

Systems exempted from certain provisions of the act: None.

09-15-0007

System name: Patients Medical Record System PHS Hospitals/Clinics HEW/HSA/BMS.

Security classification: None.

System location: See appendices 1 and 2 and Regional Federal Records Center.

Categories of individuals covered by the system: Individuals examined/treated at Public Health Service Hospitals and Clinics.

Categories of records in the system: Medical examination, diagnostic and treatment data, information for proof of eligibility, social data, disease registers, treatment logs, statistical summaries, correspondence.

Authority for maintenance of the system: Public Health Service Act, Section 321 (42 U.S.C. 248).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Purpose: Reporting results of medical examination, care and treatment; billing third parties for care of patient; research study: health care evaluation program; education of health professionals; contractors for duplication by a non-HEW or private duplication service for distribution to multiple users and for automating data. Users: any community health organization, or government agency, private physicians and/or company which had requested or arranged for an examination, treatment or care of an individual by the Bureau of Medical Services may upon request, be furnished clinical information regarding such examination, treatment or care. Army, Navy, Air Force for reports of uniformed service personnel and their dependents examination/treatment; Coast Guard for reports of uniformed service personnel and their dependents; Coast Guard for reports of American seamen found to be suffering from conditions that render them hazardous to themselves or to others aboard ship; NOAA for reports of uniformed service and other personnel of that agency. INS for reports of aliens examined and treated for and in behalf of that agency. Bureau for Prisons for reports of examination and treatment of patients examined and/or treated for and on behalf of the BP. Department of Health or other agency of a state or its subdivision for reports required under state law or regulation. U.S. Department of Labor, Office of Workers Compensation Programs, for persons claiming compensation benefits due to personal injury while employed by the government. Qualified research personnel with a research protocol approved by the Director, Division of Hospitals and Clinics, or when participating in an approved disease register. Accreditation and health education program agencies. Health professions students serving an affiliation at the institution. Non-agency physicians or laboratories for continued care of the patient. Veterans Administration to assist uniformed service personnel, retirees and veterans obtain medical care or benefits. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual and in accordance with the following numbered items in Appendix B of Department regulations (42 CFR Part 5b):

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

(101) To individuals and organizations, deemed qualified by the Secretary to carry out specific research solely for the purpose of carrying out such research.

(102) To organizations deemed qualified by the Secretary to carry out quality assessment, medical audits or utilization review. Such information regarding the commission of crimes or the occurrence of communicable diseases, child abuse, etc., as may be required to be disclosed by health facilities generally by the law of the State in which the facility is located. Such information regarding the commission of crimes or the occurrence of communicable diseases, child abuse, etc., as may be required to be disclosed by health facilities generally by the law of the State in which the facility is located. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: File folders, magnetic tape, punch cards, microfilm.

Retrievability: Purpose: communication for patient care by health care team and related personnel. Administrative use for facility management and medical care evaluation, by medical and related staff, administrative staff of the facility. Educational uses to educate and train medical and allied health personnel. Research, study of disease cause, treatment and methods of care delivery. Users: health care team, other medical and allied medical personnel. Medical and allied health students. Administrative personnel for determination of eligibility for care and facility management. Reports of examination/treatment of individuals at request of DHEW-OP, CPOD. Reports of adverse drug reaction and medical device malfunction to FDA. Recover cost of care - PHS Claims Officer. Retrievability: indexed by name, register number, number control register, disease and operation, uniformed services service number which is the social security number. Those records indexed by SSN are retrieved in accordance with 7 (a) (2) (B) of the Privacy Act.

Safeguards: Locked storage area, personnel training and instruction, PHS Policy on release of information, job description responsibility for individual employees. For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines (e.g. security codes) will be used, limiting access to authorized personnel.

Retention and disposal: Numbers of years held at HSA (since 1970) - 5 years after last activity. Number of years held at Federal Record Center before disposal - 50 years active duty uniformed service personnel, 25 years all others. Microfilmed records prior to 1970 - permanent. How destroyed: According to FRC policy.

System manager(s) and address:

Director, Division of Hospitals and Clinics
Federal Center Building 03, 6525 Belcrest Road
Hyattsville, Maryland 20782

Notification procedure: Same as system location, but not including Regional Federal Records Centers. Individual must contact appropriate facility directly. An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Individual, health care personnel, other hospitals and physicians, employers, social agencies, maritime unions, shipping companies.

Systems exempted from certain provisions of the act: None.

Appendix 1

Director, USPHS Hospital
3100 Wyman Park Drive
Baltimore, Maryland 21211

Director, USPHS Hospital
77 Warren Street
Boston (Brighton), Massachusetts 02135

Director, USPHS Hospital
4400 Avenue N
Galveston, Texas 77550

Director, USPHS Hospital
210 State Street
New Orleans, Louisiana 70118

Director, USPHS Hospital
6500 Hampton Boulevard
Larchmont
Norfolk, Virginia 23508

Director, USPHS Hospital
15th Avenue and Lake Street
San Francisco, California 94118

Director, USPHS Hospital
Box 3145 or
1131 14th Avenue South
Seattle, Washington 98114

Director, USPHS Hospital
Bay Street and Vanderbilt Avenue
Staten Island, New York 10304

Director, USPHS Hospital
Carville, Louisiana 70721

Appendix 2

Director
USPHS Outpatient Clinic
1600 Clifton Road, N.E.
Atlanta, Georgia 30333

Director
USPHS Outpatient Clinic
50 High Street, R. 609
Buffalo, New York 14203

Director
USPHS Outpatient Clinic
214 Federal Building
334 Meeting Street
Charleston, S. C. 29403

Director
USPHS Outpatient Clinic
1439 S. Michigan Avenue
Chicago, Illinois 60605

Director
USPHS Outpatient Clinic
P. O. and Courthouse Building
5th and Walnut Street
Cincinnati, Ohio 45202

Director
USPHS Outpatient Clinic
New P. O. Building, West 216 3rd Street and Prospect Ave.
Cleveland, Ohio 44113

Director
USPHS Outpatient Clinic
14700 Riverside Drive
Detroit, Michigan 48215

Director
USPHS Outpatient Clinic
Box 1410 or
591 Ala Moana Boulevard
Honolulu, Hawaii 96807

Director
USPHS Outpatient Clinic
204 U. S. Customs Building
701 San Jacinto Street
Houston, Texas 77002

Director
USPHS Outpatient Clinic
Box 4788 or Room 328
Post Office Bldg
311 West Monroe Street
Jacksonville, Florida 32201

Director
USPHS Outpatient Clinic
969 Madison Avenue
Memphis, Tennessee 38104

Director
USPHS Outpatient Clinic
51 S. W. 1st Avenue, Room 712
Miami, Florida 33130

Director
USPHS Outpatient Clinic
125 Federal Building
Mobile, Alabama 36602

Director
USPHS Outpatient Clinic
245 West Houston Street
New York, New York 10014

Director
USPHS Outpatient Clinic
Room 700
US Customs House
2nd & Chestnut Sts
Philadelphia, Pa. 19106

Director
USPHS Outpatient Clinic
U. S. Post Office and Courthouse
7th Avenue and Grant Street
Pittsburgh, Pa. 15219

Director
USPHS Outpatient Clinic
209 Federal Office Building
5th Street and Austin Avenue
Port Arthur, Texas 77640

Director
USPHS Outpatient Clinic
331 Veranda Street
Portland, Maine 04103

Director
USPHS Outpatient Clinic
220 Courthouse
Broadway and Main Street
Portland, Oregon 97205

Director
USPHS Outpatient Clinic
1520 Market Street
St. Louis, Missouri 63103

Director
USPHS Outpatient Clinic
2105 Fifth Avenue
San Diego, California 92101

Director
USPHS Outpatient Clinic
Box 3788
or 8 1/2 Fernandez Juncos Avenue
San Juan, Puerto Rico 00904

Director
USPHS Outpatient Clinic
Box 831
or 825 S. Beacon Street
San Pedro, California 90731

Director
USPHS Outpatient Clinic
P. O. Box 9625
or 1602 Drayton Street
Savannah, Georgia 31402

Director
USPHS Outpatient Clinic
P. O. Box 1611
or 601 Florida Avenue
Tampa, Florida 33601

Director
USPHS Outpatient Clinic
Switzer Bldg.
4th and C Streets, S.W.
Washington, D. C. 20201

09-15-0008

System name: Emergency Non-PHS Treatment Authorization File HEW/HSA/BMS.

Security classification: None.

System location: See Appendices 1 and 2 to Patients Medical Record System PHS Hospitals/Clinics System

Categories of individuals covered by the system: Individuals who are eligible for emergency care paid for by the Public Health Service at non-Service medical facilities and have had such care.

Categories of records in the system: Eligibility information and reasons for emergency care.

Authority for maintenance of the system: Public Health Service Act, Section 321 (42 U.S.C. 248).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Purpose: Proof of eligibility to authorize medical care of primary beneficiaries. Users: Non-PHS providers of medical care. Disclosure may be made to insurance companies for third party reimbursement, and to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Document files.

Retrievability: Purpose: to determine eligibility for medical care by the PHS; used to document expenditure of public funds; review and evaluation of medical care. Users: DHEW administrative officials; DHEW physicians or other DHEW health care professionals. Financial officers of the Division of Hospitals and Clinics, BMS. Retrievability: name.

Safeguards: Retained in files of authorized administrative personnel only.

Retention and disposal: Number of years held at HSA - indefinite.

System manager(s) and address:

Director, Division of Hospitals and Clinics
FOB 03, 6525 Belcrest Road
Hyattsville, Maryland 20782

Notification procedure: Same as system location. Individual must contact appropriate treatment facility directly.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Individual or someone acting in his behalf, and providers of medical care.

Systems exempted from certain provisions of the act: None.

09-15-0009

System name: Cooperative Research Studies System: Pyelonephritis HEW/HSA/BMS.

Security classification: None.

System location: Appendix 1 to Patients Medical Record System PHS Hospitals/Clinics System.

Categories of individuals covered by the system: Patients at Public Health Service Hospitals who have agreed to participate in the project.

Categories of records in the system: Medical data.

Authority for maintenance of the system: Public Health Service Act, Section 321 (42 U.S.R. 248).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Users: qualified research personnel with approved research protocol. Contractor for automating, compiling and analysis of data. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Documents, magnetic tape, punch cards.

Retrievability: Purpose: medical research. Users: qualified research personnel Retrievability: study number, name, hospital register number.

Safeguards: Locked files, access to study number control limited to research project personnel. For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines (e.g. security codes) will be used, limiting access to authorized personnel.

Retention and disposal: Retained for life of research project.

System manager(s) and address:

Director, Division of Hospitals and Clinics
Federal Center Building 0 3, 6525 Belcrest Road
Hyattsville, Maryland 20782

Notification procedure: Give treatment location. An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Individual and medical care system.

Systems exempted from certain provisions of the act: None.

09-15-0010

System name: Cooperative Research Studies System: Essential Hypertension HEW/HSA/BMS.

Security classification: None.

System location: System location: Appendix 1 to Patients Medical Record System PHS Hospitals/Clinics System.

Categories of individuals covered by the system: Patients at Public Health Service Hospitals who have agreed to participate in the project.

Categories of records in the system: Medical data.

Authority for maintenance of the system: Public Health Service Act, Section 321 (43 U.S.C. 248).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Purpose: research. Users: qualified research personnel with approved research protocol. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual, and in accordance with item 9 in Appendix B of Department regulations (42 CFR Part 5b): to a contractor for the purpose of collating, analyzing, aggregating or otherwise records in this system. The contractor shall be required to maintain Privacy Act safeguards with respect to such records. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Documents, magnetic tape, punch cards.

Retrievability: Purpose: medical research. Users: qualified research personnel. Retrievability: study number, name, hospital register number.

Safeguards: Locked file. Access to study number control and record limited to research project personnel. For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines (e.g. security codes) will be used, limiting access to authorized personnel.

Retention and disposal: Retained for the life of the research study.

System manager(s) and address:

Director, Division of Hospitals and Clinics
Federal Center Building 0 3, 6525 Belcrest Road
Hyattsville, Maryland 20782

Notification procedure: Same as above. Individuals must provide treatment location. An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Individual and medical care system.

Systems exempted from certain provisions of the act: None.

09-15-0011

System name: End Stage Renal Disease (ESRD) Medical Information System (Registry) HEW/HSA/BQA.

Security classification: None.

System location:

Value Engineering Co.
2550 Huntington Avenue
Alexandria, Virginia 22303

Categories of individuals covered by the system: Indiviudals receiving ESRD Medicare Benefits including successful kidney transplant patient one year post-surgery.

Categories of records in the system: Health and medical records data

Authority for maintenance of the system: Social Security Act Section 226(9) (42 U.S.C. 426(g)).

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

1) Development and support for improved Federal ESRD activities; coordination and monitoring of Federal/State ESRD programs; support for State and local ESRD program activities; review of appropriateness of care and services provided to ESRD patients; assurance that all identified and potential patients have access to necessary services; review of quality of care being provided to ESRD patients; planning for ESRD services and facilities and determination that existing services and facilities are effectively utilized; support for organizations and institutions conducting ESRD research and providing services to ESRD patients; projection of equipment and supply requirements for ESRD patients. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. See Appendix B of the Departmental Regulations (45 CFR, Part 5b), items 3,9,101 and 102.

2) Purpose: To meet and operationalize statutory requirements of Sec. 299I, P.L. 92-603; to support State and local ESRD programs and legislative requirements; to support non-Federal research and service programs and effective State, local and other planning activities.

3) Users: Local Medical Review Boards; ESRD Network Coordinating Councils; organizations and institutions conducting ESRD research and providing services to ESRD patients; State and local governments; other Federal agencies involved in ESRD activities (Department of Defense, Veterans Administration and Office of Management and Budget); equipment manufacturers and suppliers.

4) Disclosures may be made to: a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual; in accordance with the following numbered items in Appendix B of Department regulations (42 CFR Part 5b):

(101) To individuals and organizations, deemed qualified by the Secretary to carry out specific research solely for the purpose of carrying out such research.

(102) To organizations deemed qualified by the Secretary to carry out quality assessment, medical audits or utilization review. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Magnetic tape and disc, hard copy forms, microfilm (anticipated).

Retrievability:

HEW uses:

1) Uses: Program monitoring, planning and evaluation; support for clinical studies and infection control programs; validation of accuracy of reported information; respond to Congressional inquiries; budget preparation; support for local review Boards and ESRD Councils; support for quality of ESRD care review; support for patient rehabilitation programs; support for Federally operated dialysis and transplant services and programs.

2) Purpose: To meet statutory requirements of Sec. 299I, P.L. 92-603 and requirements of DHEW regulations and policies.

3) Users: All DHEW units involved in the operation, evaluation and support of the national ESRD program including; Health Services Administration, Health Resources Administration; Social Security Administration, Social and Rehabilitation Services; National Institutes of Health; Center for Disease Control.

4) Retrievability: Data indexed by Health Insurace Claim number, patient name and facility number. Individual patient and statistical data provided to Social Security Administration, the National Institutes of Health and local Medical Review Boards, statistical data provided to other governmental units and the general public.

Safeguards: Restricted access to all areas where data are maintained and processed, hard copy data stored in locked files in secured area, terminal access controlled by user ID and keywords. Access to personal data restricted to those authorized to work with those data. For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines (e.g. security codes) will be used, limiting access to authorized personnel.

Retention and disposal: Hard copy retained 1 year; all other information, indefinitely. Hard copy destroyed by shredding; all other information, to be determined.

System manager(s) and address:

Director, Division of Peer Review
Bureau of Quality Assurance
Parklawn Building, 5600 Fishers Lane
Rockville, Maryland 20852

Notification procedure: Same as system manager. An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Applications for Medicare ESRD benefits, patient records at ESRD treatment facilities, Social Security Adminstration Medicare Master Files.

Systems exempted from certain provisions of the act: None.

09-15-0012

System name: Medicare Beneficiary Claims for Emergency Services HEW/HSA/BQA.

Security classification: None.

System location:

Parklawn Building
5600 Fishers Lane
Rockville, Maryland 20857

Categories of individuals covered by the system: Medicare beneficiaries who file for Medicare Part A emergency claim reconsideration desiring coverage of nonparticipating hospital charges.

Categories of records in the system: Medical information and associated charge data.

Authority for maintenance of the system: Social Security Act Sections 1814(d)and(f) (42 U.S.C. 1395F(d)and(f)).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made in accordance with Appendix B of the Departmental Regulations (45 CFR, Part 5b) item 3: In the event the Department deems it desirable or necessary, in determining whether particular records are required to be disclosed under the Freedom of Information Act, disclosure may be made to the Department of Justice for the purpose of obtaining its advice. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: File folders, log book - in emergency claims file drawers.

Retrievability:

HEW uses:

1 Uses: Track file folders (which include Medicare emergency claims with associated medical record information) received from and returned to Social Security Administration, Bureau of Health Insurance, regional offices; maintain sufficient information to indicate the decisions and rationale to handle future inquiries and coordinate handling of subsequent claims by the same beneficiary for other emergency service claims; identify problems which can be corrected administratively. The Public Health Service regional offices handle the information file folders on initial consideration of the claims. Copies of documentation of case and claim decision are returned with the information file folders for both PHS and SSA regional offices, to indicate the claim decision and justification for the decision.

2) Purpose: Determine whether services were medically necessary on an immediate emergency basis.

3) Users: Information is used by fiscal intermediaries for the Medicare Program to reimburse hospitals and beneficiaries. Both information files and the documentation of case and claim decision are used by Administrative Law Judges in cases of claims appeals.

4) Retrievability: Beneficiary name, health insurance claim number, name of hospital and dates of services appear in all categories of records (information file folders which include Medicare emergency claims with associated medical record information; documentation of case and claim decision; claims review status log), and are used to identify an individual's specific claim. All records are kept in the emergency claim file drawers. The information file folders and entries in the log are in the order of receipt in the office. The documentation of case and decision are alphabetized by name.

Safeguards: Records are in locked file drawers. Personnel are instructed on information confidentiality. Access to claim folders restricted to authorized personnel.

Retention and disposal: Number of years held at HSA: information file folders are held one week to six months before being returned to originating source. Other records kept indefinitely. Number of years held at Federal Records Center before disposal: not applicable.

System manager(s) and address:

Director, Division of Peer Review, BQA
5600 Fshers Lane
Rockville, Maryland 20852

Notification procedure: Same as system manager. An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations

(45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Medicare claim forms and supporting information; portions of medical records from nonparticipating hospitals; other pertinent medical and emergency room records; physician statements; statements of HEW personnel authorized to handle the claims; information and requests from representatives of the beneficiaries for reconsideration of claims decisions.

Systems exempted from certain provisions of the act: None.

09-15-0013

System name: Cytotechnologists Proficiency Answer Sheets and Test Results (Medicare) HEW/HSA/BQA.

Security classification: None.

System location:

Test Results:
Parklawn Building
5600 Fishers Lane
Rockville, Md. 20857
and Regional Federal Records Center

Answer Sheets:
Professional Examination Service
475 Riverside Drive
New York, N.Y. 10029

Categories of individuals covered by the system: Cytotechnologists.

Categories of records in the system: Answer Sheets. Examination scores.

Authority for maintenance of the system: Social Security Act Sections 1123 (42 U.S.C. 1320a-2).

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

Uses outside HEW:

(1) Uses - Lists showing by States the names and addresses of individuals who passed or failed are sent to Regional Health Administrators, PHS, Regional Offices. They are instructed to make the lists available to the appropriate State Health Department. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual; and in accordance with item 3 in Appendix B of Department regulations (42 CFR Part 5b): In the event the Department deems it desirable or necessary, in determining whether particular records are required to be disclosed under the Freedom of Information Act, disclosure may be made to the Department of Justice for the purpose of obtaining its advice. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

(2) Purpose - These answer sheets indicate examination results and the lists indicate only pass or fail, and are used to advise an individual who failed the exam when the next examination will be given.

(3) Users - State Health Department.

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

Storage: Computer generated listings are filed by discipline, by State, in file folders.

Retrievability:

(1) Uses - Answer sheets are retained for revalidation and one record of all examinees is maintained for the purpose of responding to an individual examinee.

(2) Purpose - (1) Pass - To re-issue a new card to those who pass, for reasons they have lost their card, or have changed their name (upon written request). (2) Fail - To re-advise what their scores were by subject upon written request, or when they can take the next examination.

(3) Users - Systems Manager and project officers.

(4) Retrievability - Listings and answer sheets are by examination, State, examinee's name and address, and examination number.

Safeguards: Files are maintained in a combination lock file cabinet, in a locked room area. For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines (e.g. security codes) will be used, limiting access to authorized personnel.

Retention and disposal: Lists are to be retained through FY 1978. They will then be filed at Federal Records Center for a period of three years. If at the expiration of that time the records are no longer of use, FRC will be authorized to destroy by incineration or shredding. Answer sheets are retained until completion of contract and then destroyed.

System manager(s) and address:

Director, Division of Provider Standards and Certification
Bureau of Quality Assurance
Parklawn Building
5600 Fishers Lane
Rockville, Maryland 20857

Notification procedure: Same as system manager.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Scored Examinations.

Systems exempted from certain provisions of the act: None.

09-15-0014

System name: Physical Therapists Proficiency Answer Sheets and Test Results (Medicare) HEW/HSA/BOA.

Security classification: None.

System location:

Test Results:
Parklawn Building
5600 Fishers Lane
Rockville, Md. 20857

Answer Sheets:
Psychological Corporation
757 3rd Avenye
New York, N.Y. 10017

Categories of individuals covered by the system: Physical Therapists.

Categories of records in the system: Answer Sheets. Examination scores.

Authority for maintenance of the system: Social Security Act Section 1123 (42 U.S.C. 1320a-2).

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

(1) Uses - Answer sheets are used to score results of the examination and if applicable to revalidate results. Lists showing by States the names and addresses of individuals who passed or failed are sent to Regional Health Administrators, PHS, Regional Offices. They are instructed to make the lists available to the appropriate State Health Department. Pursuant to Department Regulations (42 CFR 5b) Appendix B, Item (3): In the event the Department deems it desirable or necessary, in determining whether particular records are required to be disclosed under the Freedom of Information Act, disclosure may be made to the Department of Justice for the purpose of obtaining its advice. Disclosure may be made to a congressional office

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

(2) Purpose - These answer sheets indicate examination results and the lists indicate only pass or fail, and are used to advise an individual who failed the exam when the next examination will be given.

(3) Users - State Health Department.

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

Storage: Computer generated listings are filed by discipline, by State, in file folders.

Retrievability:

(1) Uses - Answer sheets are retained for revalidation and one record of all examinees is maintained for the purpose of responding to an individual examinee.

(2) Purpose - (1) Pass - to re-issue a new card to those who pass, for reasons they have lost their card, or have changed their name (upon written request). (2) Fail - re-advise what their scores were by subject upon written request, or when they can take the next examination.

(3) Users - Systems Manager and project officer.

(4) Retrievability - Listings and answer sheets are by examination, State, examinee's name and address, and examination number.

Safeguards: Files are maintained in a combination lock file cabinet, in a locked room area. For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines (e.g. security codes) will be used, limiting access to authorized personnel.

Retention and disposal: Lists are to be retained through FY 1978. They will then be filed at Federal Records Center for a period of three years. If at the expiration of that time the records are no longer of use, FRC will be authorized to destroy by incineration or shredding. Answer sheets are retained until completion of contract and then destroyed.

System manager(s) and address:

Director, Division of Provider Standards and Certification
Bureau of Quality Assurance
Parklawn Building
5600 Fishers Lane
Rockville, Maryland 20852

Notification procedure: Same as system manager.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Scored Examinations.

Systems exempted from certain provisions of the act: None.

09-15-0015

System name: Psychiatric Technician Proficiency Answer Sheets and Test Results (Medicare) HEW/HSA/BQA.

Security classification: None.

System location:

Test Results:
Parklawn Building
5600 Fishers Lane
Rockville, Md. 20857
and Regional Federal Records Center

Answer Sheets:
NAtional League of Nursing
10 Columbus Circle
New York, N.Y. 10019

Categories of individuals covered by the system: Psychiatric technicians.

Categories of records in the system: Answer Sheets. Examination scores.

Authority for maintenance of the system: Social Security Act Section 1123 (42 U.S.C. 1320a-2).

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

(1) Uses - Lists showing by States the names and addresses of individuals who passed or failed are sent to Regional Health Administrators, PHS, Regional Offices. They are instructed to make the lists available to the appropriate State Health Department. Pursuant to Department regulations (42 CFR Part 5b) Appendix B, Item (3): In the event the Department deems it desirable or necessary, in determining whether particular records are required to be disclosed under the Freedom of Information Act, disclosure may be made to the Department of Justice for the purpose of obtaining its advice. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

(2) Purpose - These answer sheets indicate examination results and the lists indicate only pass or fail, and are used to advise an individual who failed the exam when the next examination will be given.

(3) Users - State Health Department.

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

Storage: Computer generated listings are filed by discipline, by State, in file folders.

Retrievability:

(1) Uses - One record of all examinees is maintained for the purpose of responding to an individual examinee and answer sheets are retained for revalidation.

(2) Purpose - (1) Pass - to re-issue a new card to those who pass, for reasons they have lost their card, or have changed their name (upon written request). (2) Fail - re-advise what their scores were by subject upon written request, or when they can take the next examination.

(3) Users - Systems Manager and project officer.

(4) Retrievability - Listings and answer sheets are by examination, State, examinee's name and address, and examination number.

Safeguards: Files are maintained in a combination lock file cabinet, in a locked room area. For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines (e.g. security codes) will be used, limiting access to authorized personnel.

Retention and disposal: Lists are to be retained through FY 1978. They will then be filed at Federal Records Center for a period of three years. If at the expiration of that time the records are no longer of use, FRC will be authorized to destroy by incineration or shredding.

System manager(s) and address:

Director, Division of Provider Standards and Certification
Bureau of Quality Assurance

Parklawn Building
5600 Fishers Lane
Rockville, Maryland 20857

Notification procedure: Same as system manager.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Scored Examinations.

Systems exempted from certain provisions of the act: None.

09-15-0016

System name: Clinical Laboratory Technologists Proficiency Answer Sheets and Test Results (Medicare) HEW/HSA/BQA.

Security classification: None.

System location:

Test Results:
Parklawn Building
5600 Fishers Lane
Rockville, Md. 20857
and Regional Federal Records Center

Answer Sheete:
Professional Examination Service
475 Riverside Drive
New York, New York 10027

Categories of individuals covered by the system: Clinical laboratory technologists.

Categories of records in the system: Answer sheets. Examination scores.

Authority for maintenance of the system: Social Security Act Section 1123 (42 U.S.C. 1320a-2).

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

(1) Answer sheets are used to score results and if applicable to revalidate results. Lists showing by States the names and addresses of individuals who passed or failed are sent to Regional Health Administrators, PHS, Regional Offices. They are instructed to make the lists available to the appropriate State Health Department. Pursuant to Department regulations, (42 CFR 5b) Appendix B, Item (3): In the event the Department deems it desirable or necessary, in determining whether particular records are required to be disclosed under the Freedom of Information Act, disclosure may be made to the Department of Justice for the purpose of obtaining its advice. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

(2) Purpose - These answer sheets indicate examination results and the lists indicate only pass or fail, and are used to advise an individual who failed the exam when the next examination will be given.

(3) Users - State Health Department.

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

Storage: Storage - Computer generated listings are filed by discipline, by State, in file folders.

Retrievability:

(1) Uses - One record of all examinees is maintained for the purpose of responding to an individual examinee and answer sheets are retained for revalidation.

(2) Purpose - (1) Pass - to re-issue a new card to those who pass, for reasons they have lost their card, or have changed their name (upon written request). (2) Fail - re-advise what their scores were by subject upon written request, or when they can take the next examination.

(3) Users - Systems Manager and project officers.

(4) Retrievability - Listings and answer sheets are by examination, State, examinee's name and address, and examination number.

Safeguards: Files are maintained in a combination lock file cabinet, in a locked room area. For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines (e.g. security codes) will be used, limiting access to authorized personnel.

Retention and disposal: Lists are to be retained through FY 1978. They will then be filed at Federal Records Center for a period of three years. If at the expiration of that time the records are no longer of use, FRC will be authorized to destroy them by incineration or shredding.

System manager(s) and address:

Director, Division of Provider Standards and Certification
Bureau of Quality Assurance
Parklawn Building
5600 Fishers Lane
Rockville, Maryland 20857

Notification procedure: Same as system manager.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Scored Examinations.

Systems exempted from certain provisions of the act: None.

09-15-0017

System name: Waivered Licensed Practical Nurse Proficiency Exam Answer Sheets and Test Results (Medicare) HEW/HSA/BQA.

Security classification: None.

System location:

Test results:
Parklawn Building
5600 Fishers Lane
Rockville, Md. 20857
and Regional Federal Records Center
Answer sheets:
National League of Nursing
10 Columbus Circle
New York, N.Y. 10019

Categories of individuals covered by the system: Licensed Practical Nurses.

Categories of records in the system: Answer sheets. Examination scores.

Authority for maintenance of the system: Social Security Act Section 1123 (42 U.S.C. 1320a-2).

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

(1) Uses - Answer sheets are used to score results of the examination and if applicable to revalidate results. Lists showing by States the names and addresses of individuals who passed or failed are sent to Regional Health Administrators, PHS, Regional Offices. They are instructed to make the lists available to the appropriate State Health Department. Pursuant to Department regulations, (42 CFR

6b) Appendix B, Item (3): In the event the Department deems it desirable or necessary, in determining whether particular records are required to be disclosed under the Freedom of Information Act, disclosure may be made to the Department of Justice for the purpose of obtaining its advice. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

(2) Purpose - These answer sheets indicate examination results and the lists indicate only pass or fail, and are used to advise an individual who failed the exam when the next examination will be given.

(3) Users - State Health Department.

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

Storage: Computer generated listings are filed by discipline, by State, in file folders.

Retrievability:

(1) Uses - One record of all examinees is maintained for the purpose of responding to an individual examinee and answer sheets are retained for validation.

(2) Purpose - (1) Pass - to re-issue a new card to those who pass, for reasons they have lost their card, or have changed their name (upon written request). (2) Fail - re-advise what their scores were by subject upon written request, or when they can take the next examination.

(3) Users - Systems Manager and project officers.

(4) Retrievability -Listings and answer sheets are by examination, State, examinee's name and address, and examination number.

Safeguards: Files are maintained in a combination lock file cabinet, in a locked room area. For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines (e.g. security codes) will be used, limiting access to authorized personnel.

Retention and disposal: Lists are to be retained through FY 1978. They will then be filed at Federal Records Center for a period of three years. If at the expiration of that time the records are no longer of use, FRC will be authorized to destroy them by incineration or shredding. Answer sheets are retained until completion of contract then destroyed.

System manager(s) and address:

Director, Division of Provider Standards and Certification
Bureau of Quality Assurance
Parklawn Building
5600 Fishers Lane
Rockville, Maryland 20857

Notification procedure: Same as system manager.

Record access procedures: Same as system manager.

Contesting record procedures: Same as system manager.

Record source categories: Scored examinations.

Systems exempted from certain provisions of the act: None.

09-15-0018

System name: Unofficial Vital Records System. HEW/HSA/IHS.

Security classification: None.

System location: Indian Health Service Area and Program Offices.

Categories of individuals covered by the system: American Indians and Alaskan Natives.

Categories of records in the system: Birth information.

Authority for maintenance of the system: Public Health Service Act Section 321 (42 U.S.C. 258, 2001 et seq.).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the unofficial birth record of an individual in response to an inquiry from the congressional office made at the request of that individual. Such disclosure will be made in conjunction with notification that the birth record is an unofficial copy of the State Record, thus it must be verified by the State Health Department from which the record came. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: File folders in file cases; microfilm reels, computer cards and tapes.

Retrievability: Purpose: Used in health care program development, analysis, and evaluation. Birth record is an unofficial copy of the State record which is used internally for aggregate statistical and planning purposes. Users: Authorized agency personnel including maternal and child health personnel, health planners, statisticians, epidemiologists, demographers, and others concerned with problems of health, health care, and health hazards. Retrievability: Indexed by calendar year of event.

Safeguards: Locked areas.

Retention and disposal: Number of years held at IHS: Varies by IHS area from 1 year to indefinite. How destroyed: Burned or shredded.

System manager(s) and address: See Appendix.

Notification procedure: An individual or his designee who requests notification of or access to subject record is referred to State or other jurisdiction from which the record originated. Official certification of the document and contents can only be made by the State or other jurisdiction. These notification and access procedures are in accordance with Department Regulations. (45 CFR, Section 5b.5 and 5b.6, Federal Register October 8, 1975, pages 47410 and 47411).

Record access procedures: Same as notification procedures. Subject individual and/or his designee will have access to own record by supplying date of birth, father's name, mother's maiden name, and place of birth. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5 (a) (2) Federal Register, October 8, 1975, page 47410.

Contesting record procedures: Write to the official at the address specified and reasonably identify the record and specify the information to be contested. The information contested may only be changed in the unofficial vital records system and the State must be notified separately to change the official documents.

Record source categories: Records are obtained from State vital statistics offices and other jurisdictions.

Systems exempted from certain provisions of the act: None.

Appendix

Director
Aberdeen Area Indian Health Service
Federal Building
115 Fourth Avenue, S. E.
Aberdeen, South Dakota 57401
Attn: Chief, Maternal and Child Health Branch

Director
Albuquerque Area Indian Health Service
Room 4005, Federal Office Building
500 Gold Avenue, S.W.
Albuquerque, New Mexico 87101
Attn: Chief, Program Analysis & Statistics Br.

Director

Alaska Area Native Health Service
P.O. Box 7-741
Anchorage, Alaska 99510
Attn: Chief, Office of Systems Development

Director
Billings Area Indian Health Service
P.O. Box 2143
Billings, Montana 59103
Attn: Area Program Planning and Statistics Office

Director
Navajo Area Indian Health Service
P.O. Box G
Window Rock, Arizona 86415
Attn: Chief, Maternal and Child Health Br.

Director
Oklahoma City Area Indian Health Service
388 Old Post Office and Court House Bldg.
Oklahoma City, Oklahoma 73102
Attn: Chief, Program Analysis & Statistics Br.

Director
Phoenix Area Indian Health Service
801 East Indian School Road
Phoenix, Arizona 85014
Attn: Director, Office of Program Planning

Director
Portland Area Indian Health Service
Room 476 Federal Building
1220 Southwest Third
Portland, Oregon 97204
Attn: Chief, Program Planning & Statistics

Program Director
United Southeastern Tribes
Indian Health Service
Oak Towers Bldg.
1102 Kermit Drive
Nashville, Tenn. 37217
Attn: Privacy Act Coordinator

Director
Tucson Program Area
Indian Health Service
P.O. Box 11340
Tucson, Arizona 85734
Attn: Chief, Community Health Status Surveillance

09-15-0019

System name: Health and Medical Records Systems. HEW/HSA/IHS.

Security classification: None.

System location: Indian Health Service Service Units, Area and Program Offices, and Regional Federal Records Centers.

Categories of individuals covered by the system: Individuals examined/treated at Indian Health Service facilities, and by contract providers including hospitals, physicians, and other health providers.

Categories of records in the system: Health and medical information incuding examination, diagnostic and treatment data, information for proof of eligibility, social data, disease registers, commitment registers, communicable diseases, special program and/or discipline patient profiles and research studies, statistical summaries, correspondence, etc.

Authority for maintenance of the system: Public Health Service Act Section 321 (42 U.S.C. 248); 42 U.S.C. 2001; Self Determination Act (25 U.S.C. 450); Indian Sanitation Facilities Act (42 U.S.C. 20040); Synder Act (25 USC 13); Health Care Improvement Act (25 USC 1601); and Construction of Community Hospitals (25 USC 2005).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Records may be disclosed to:

1. Authorized organizations which provide health services to American Indians and Alaskan Natives for the purpose of planning for or providing such services; billing third parties for the payment of care, and reporting results of medical examination, care and treatment.
2. Individuals and organizations deemed qualified by the Secretary to carry out specific research solely for the purpose of carrying out such research.
3. Federal and non-federal school systems which serve American Indian and Alaskan Native children for the purpose of student health maintenance;

(102) To organizations deemed qualified by the Secretary to carry out quality assessment, medical audits or utilization review. Authorized organizations or individuals for conduct of analytical and evaluation studies sponsored by the Indian Health Service. A Congressional office in response to an inquiry from that office made at the request of the subject individual. Such information regarding the commission of crimes or the occurrence of communicable diseases, child abuse, etc., as may be required to be disclosed by health facilities generally by the law of the State in which the facility is located. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected. Users: Local, State, Federal and other Health and Welfare organizations and authorized health and welfare providers including contractors and accreditation agencies, qualified research personnel with approved research protocol; Department of Justice and other Federal, State, and Local enforcement agencies. Purposes: To operate comprehensive health program of services for eligible American Indians and Alaska Natives, provides hospital and medical care services and preventive and rehabilitative health services; develops innovative health services delivery systems, conducts tuberculosis and other communicable disease control activities as well as mental health activities, promotes self-determination of Indian people through community development and participation in program administration, encourages and assists in the development of water supply and waste disposal systems and provides training for health personnel.

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

Storage: File folders, ledgers, card files, microfile, microfilm, computer cards and tapes, and automatic or open shelf files, automated tapes and disc files.

Retrievability:

Purpose: Medical history of the total health care and medical treatment received, supplemental health records and indexes. To assist in planning further care of patient, to serve as basis for planning future health and related programs, to serve as means of communication among members of health care team, to serve as a legal document of health care rendered, to serve as a tool in evaluating quality of health care rendered, to use in research and education, to compile aggregated statistics.

Users: Authorized agency personnel and authorized contractors, researchers and medical audit personnel, health care team members.

Retrievability: Indexed by name and record number and social security number and cross indexed. SSN is supplied on a voluntary basis.

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

Retention and disposal: Active records maintained in facility and basic source statistical documents maintained in Area and program offices identifinitely. Inactive records held at the facility providing services from 3 to 7 years and then transferred to the Federal Records Center for disposal - 50 years active duty uniformed services personnel, 25 years all others. According to Federal Record Center.

System manager(s) and address: See Appendix.

Notification procedure: Submit to system location but not including Federal Record Center. Individual must contact appropriate facility. An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Write to the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Patient and/or family members, provider of health and related services.

Systems exempted from certain provisions of the act: None.

Appendix

Director
Aberdeen Area Indian Health Service
Federal Building
115 Fourth Avenue, S.E.
Aberdeen, South Dakota 57401
Attn: Chief, Health Records Branch

Director
Albuquerque Area Indian Health Service
Room 4005, Federal Office Building
500 Gold Avenue, S.W.
Albuquerque, New Mexico 87101
Attn: Chief, Health Records Branch

Director
Alaska Area Native Health Service
P.O. Box 7-741
Anchorage, Alaska 99510
Attn: Chief, Health Records Branch

Director
Billings Area Indian Health Service
P.O. Box 2143
Billings, Montana 59103
Attn: Area Program Planning and Statistics Office

Director
Navajo Area Indian Health Service
P.O. Box G
Window Rock, Arizona 86415
Attn: Chief, Health Records Branch

Director
Oklahoma City Area Indian Health Service
388 Old Post Office and Court House Bldg.
Oklahoma City, Oklahoma 73102
Attn: Chief, Records Librarian Consultant

Director
Phoenix Area Indian Health Service
801 East Indian School Road
Phoenix, Arizona 85014
Attn: Chief, Health Records Branch

Director
Portland Area Indian Health Service
Room 476, Federal Building
1220 Southwest Third
Portland, Oregon 97204
Attn: Chief, Health Records Branch

Program Director
United Southeastern Tribes
Indian Health Service
Oak Towers Bldg.
1102 Kermit Drive
Nashville, Tenn. 37217
Attn: Privacy Act Coordinator

Director
Tucson Program Area
Indian Health Service
P.O. Box 11340
Tucson, Arizona 85734
Attn: Director, Sells Service Unit

Service Unit Director
Belcourt Indian Hospital
Belcourt, N.D. 58316

Service Unit Director
Eagle Butte Indian Hospital
Eagle Butte, S.D. 57625

Service Unit Director
Fort Yates Indian Hospital
Fort Yates, N.D. 58538

Service Unit Director
Pine Ridge Indian Hospital
Pine Ridge, S.D. 57770

Service Unit Director
Rapid City Indian Hospital
Rapid City, S.D. 57701

Service Unit Director
Rosebud Indian Hospotal
Rosebud, S.D. 57570

Service Unit Director
Sisseton Indian Hospital
Sisseton, S.D. 57262

Service Unit Director
Wagner Indian Hospital
Wagner, S.D. 57380

Service Unit Director
Winnebago Indian Hospital
Winnebago, Neb. 68071

Service Unit Director
Chamberlain Indian Health Center
Chamberlain, S.D. 57325

Service Unit Director
Fort Totten Indian Health Center
Fort Totten, N.D. 58335

Service Unit Director
Newtown Indian Health Center
Newtown, N.D. 58763

Service Unit Director
Cass Lake Indian Hospital
Cass Lake, Minn. 56633

Service Unit Director
Red Lake Indian Hospital
Red Lake, Minn. 56671

Service Unit Director
White Earth Indian Health Center
White Earth, Minn. 56591

Director
PHS Alaska Native Medical Center
Box 7-741
Anchorage, Alaska 99510

Service Unit Director
Barrow Alaska Native Hospital
Barrow, Alaska 99723

Service Unit Director
Bethel Alaska Native Hospital
Bethel, Alaska 99559

Service Unit Director
Kanakanak Alaska Native Hospital
Kanakanak, Alaska 99576

Service Unit Director
Kotzebue Alaska Native Hospital
Kotzebue, Alaska 99752

Service Unit Director
Mt. Edgecumbe Alaska Native Hospital
Mt. Edgecumbe, Alaska 99835

Service Unit Director
Tanana Alaska Native Hospital
1638 Cowles Street
Fairbanks, Alaska 99777

Service Unit Director
Albuquerque Indian Hospital
801 Vassar Dr., N.D.
Albuquerque, N.M. 87106

Service Unit Director
Mescalero Indian Hospital
Mescalero, N.M. 88340

Service Unit Director
Santa Fe Indian Hospital
Cerrillos Road
Santa Fe, N.M. 87501

Service Unit Director
Zuni Indian Hospital
Zuni, N.M. 87327

Service Unit Director
Browning Indian Hospital
Browning, Mont. 59417

Service Unit Director
Crow Indian Hospital
Crow Agency, Mont. 59022

Service Unit Director
Harlem Indian Hospital
Harlem, Mont. 59526

Service Unit Director
Box Elder Indian Health Center
Box Elder, Mont. 59521

Service Unit Director
Fort Washakie Indian Health Center
Fort Washakie, Wyo. 82514

Service Unit Director
Lame Deer Indian Health Center
Lame Deer, Mont. 59043

Service Unit Director
Poplar Indian Health Center
Poplar, Mont. 59255

Service Unit Director
St. Ignatius Indian Health Center
St. Ignatius, Mont. 59865

Service Unit Director
Intermountain School Health Center
P.O. Box 602
Brigham City, Utah 84302

Service Unit Director
Claremore Indian Hospital
Claremore, Okla. 74017

Service Unit Director
Clinton Indian Hospital
Clinton, Okla. 73601

Service Unit Director
Lawton Indian Hospital
Lawton, Okla. 73501

Service Unit Director
Pawnee Indian Hospital
Pawnee, Okla. 74058

Service Unit Director
W. W. Hastings Indian Hospital
1120 Grand
Tahlequah, Okla. 74464

Service Unit Director
Talihina Indian Hospital
Talihina, Okla. 74571

Service Unit Director
Holton Indian Health Center
Holton, Kansas 66436

Service Unit Director
Shawnee Indian Health Center
Shawnee, Okla. 74801

Service Unit Director
Tishomingo Indian Health Center
Tishomingo, Okla. 73460

Facility Director
Haskell Junior College
Indian School Health Center
Lawrence, Kansas 66044

Service Unit Director
Keams Canyon Indian Hospital
P.O. Box 98
Keams Canyon, Ariz. 86034

Service Unit Director
Owyhee Indian Hospital
P.O. Box 212
Owyhee, Nev. 89832

Service Unit Director
Parker Indian Hospital
Route 1, Box 12
Parker, Ariz. 85344

Service Unit Director
Phoenix Indian Medical Center
4212 North 16th St.
Phoenix, Ariz. 85016

Service Unit Director
Sacaton Indian Hospital
Sacaton, Ariz. 85247

Service Unit Director
San Carlos Indian Hospital
San Carlos, Ariz. 85550

Service Unit Director
Schurz Indian Hospital
Schurz, Nev. 89427

Service Unit Director
Whiteriver Indian Hospital
Whiteriver, Ariz. 85941

Service Unit Director
Fort Yuma Indian Hospital
P.O. Box 1368
Yuma, Ariz. 85364

Service Unit Director
Uintah and Ouray Indian Health Center

P.O. Box 967
Rossevelt, Utah 84066

Service Unit Director
Colville Indian Health Center
Nespelem, Wash. 99155

Service Unit Director
Fort Hall Indian Health Center
P.O. Box 317
Ft. Hall, Idaho 83203

Service Unit Director
Neah Bay IHS Health Center
P.O. Box 408
Neah Bay, Wash. 98357

Service Unit Director
Northern Idaho Indian Health Center
P.O. Drawer 0367
Lapwai, Idaho 83540

Service Unit Director
Northwest Washington Service Unit
P.O. Box 241
Marietta, Wash. 98268

Service Unit Director
Taholah Indian Health Center
P.O. Box 1148
Taholah, Wash. 98587

Service Unit Director
Warm Springs Indian Health Center
Warm Springs, Ore. 97761

Service Unit Director
Wellpinit Indian Health Center
P.O. Box 62
Wellpinit, Wash. 99040

Service Unit Director
Yakima Indian Health Center
Route 1, Box 77
Toppenish, Wash. 98948

Service Unit Director
Umatilla Indian Health Center
P.O. Box 520
Pendleton, Ore. 97801

Service Unit Director
Puget Sound Indian Health Loc.
1212 So. Judkins
Seattle, Wash. 98144

Service Unit Director
Chemawa Indian School Health Center
5545 Chugach St., NE
Salem, Ore. 97303

Service Unit Director
Crownpoint Indian Hospital
Crownpoint, N.M. 87313

Service Unit Director
Fort Defiance Indian Hospital
Ft. Defiance, Ariz. 86504

Service Unit Director
Gallup Indian Hospital
Gallup, N.M. 87301

Service Unit Director
Shiprock Indian Hospital
Shiprock, N.M. 87420

Service Unit Director
Tuba City Indian Hospital
Tuba City, Ariz. 85045

Service Unit Director
Winslow Indian Hospital
Winslow, Ariz. 86047

Service Unit Director
Chinle Indian Health Center
Chinle, Ariz. 86503

Service Unit Director
Kayenta Indian Health Center
Kayenta, Ariz. 86033

Service Unit Director
Sells Indian Hospital
Sells, Ariz. 85634

Service Unit Director
Cherokee Indian Hospital
Cherokee, N.C. 28719

Service Unit Director
Philadelphia Indian Hospital
Philadelphia, Miss. 39350

Service Unit Director
Hollywood Indian Health Center
Hollywood, Fla. 33024

Program Director
Bemidji Program Office
203 Federal Building
Bemidji, Minn. 56601

09-15-0020

System name: Independent Laboratory Directors Proficiency Answer Sheets and Exam Results (Medicare). HEW/HSA/BQA.

Security classification: None.

System location:

Parklawn Building
5600 Fishers Lane
Rockville, Md. 20857
and Regional Federal Records Center

Categories of individuals covered by the system: Independent laboratory directors.

Categories of records in the system: Examination scores. Answer Sheets.

Authority for maintenance of the system: 5 U.S.C. 301; 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Uses - Lists showing by states the names and addresses of individuals who passed or failed examinations were made available to the appropriate State Health Department. Pursuant to Department regulations, (42 CFR 5b) Appendix B, Item (3): In the event the Department deems it desirable or necessary in determining whether particular records are required to be disclosed under the Freedom of Information Act, disclosures may be made to the Department of Justice for the purpose of obtaining its advice. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected. (2) Purpose - Lists indicated only pass or fail, and were used to advise an individual who failed the exam when the next examination would be given. (3) Users - State Health Department. Because of the length of time that has elapsed since the last examination was given in 1970, it is not known if State Health Departments still retain unscored records of examinees.

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

Storage: Computer generated listings are filed by discipline, by State, in file folders.

Retrievability: Retrievability - Listings are by examination, State, examinee's name and address, and examination number. (1) Uses - One record of all examinees is maintained for the purpose of responding to an individual examinee. (2) Purpose - (1) Pass - to re-issue a new card to those who pass, for reasons they have lost their card, or have changed their name (upon written request) (2) Fail - re-advise what their scores were by subject upon written request. (3) Users - Systems Manager and project officers.

Safeguards: Files are maintained in a combination lock file cabinet, in a locked room area. For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines (e.g. security codes) will be used, limiting access to authorized personnel.

Retention and disposal: Lists are to be retained through FY 1978. They will then be filed at Federal Records Center for a period of three years. If at the expiration of that time the records are no longer of use, FRC will be authorized to destroy by incineration or shredding.

System manager(s) and address:

Director
Division of Provider Standards and Certification
Bureau of Quality Assurance
Parklawn Building
5600 Fishers Lane
Rockville, Md. 20857

Notification procedure: Same as above.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Write to the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Scored Examinations.

Systems exempted from certain provisions of the act: None.

09-15-0022

System name: Accounts Receivable DHEW/HSA/BMS

Security classification: None.

System location: Financial Management Offices - see attached list.

Categories of individuals covered by the system: Patients, Employees, Attorneys.

Categories of records in the system: Billing to individuals.

Authority for maintenance of the system: Public Health Service Act Section 321 (42 U.S.C. 248).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information may be provided to any government agency which had requested or arranged for treatment or care of an individual by the BMS. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: File folders.

Retrievability: Retrievable by name. Purpose: To collect funds due Federal Government. Uses: Billing and collecting. Users: Billing clerk, cashier, HEW Audit Agency, HEW Claims Officer.

Safeguards: Physical security - financial management personnel have access.

Retention and disposal: Number of years held at HSA - Until audited. How destroyed: Incinerator.

System manager(s) and address:

Chief, Financial Management Branch, BMS
11th Floor, Federal Center Bldg. 03
6525 Belcrest Rd., W. Hyattsville, Md. 20782

Notification procedure: Financial Management Offices - as listed under location.

Record access procedures: Requesters Should contact the appropriate office listed under System Location and reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Write to an appropriate Financial Management Officer under System Location and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: From individual via the medical record Hospital Administrative Department.

Systems exempted from certain provisions of the act: None.

Address all correspondence to:

Chief, Financial Management, at the appropriate location

USPHS Hospital
3100 Wyman Park Drive
Baltimore, Md. 21211

USPHS Hospital
77 Warren St.
Boston (Brighton) Mass. 02135

USPHS Hospital
Carville, La. 70721

USPHS Hospital
4400 Avenue N
Galveston, Texas 77550

USPHS Hospital
210 State St.
New Orleans, La. 70118

USPHS Hospital
6500 Hampton Blvd., Larchmont
Norfolk, Virginia 23508

USPHS Hospital
1131 14th Ave. South
Seattle, Wash. 98114

USPHS Hospital
Bay Street and Vanderbilt Avenue
Staten Island, New York 10304

USPHS Hospital
15th Ave. & Lake St.
San Francisco, Calif. 94118

USPHS Outpatient Clinic
Switzer Bldg.
4th & C Sts., SW
Washington, D. C. 20201

USPHS Outpatient Clinic
1600 Clifton Rd., NE
Atlanta, Georgia 30333

09-15-0026

System name: Medical Fellowships and Educational Loans. DHEW/HSA/OA.

Security classification: None.

System location:

DHEW/HSA/OA/OFS - Rm. 16-23
Parklawn Bldg.
5600 Fishers Lane Rockville, Md. 20857
and Regional Federal Records Center.

Categories of individuals covered by the system: Private Citizens (Loan Applicants).

Categories of records in the system: Fellowship, Grants and Loans Applications.

Authority for maintenance of the system: Public Health Service Act Section 301 (42 U.S.C. 241).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: File folders.

Retrievability: Retrievable by name. Purpose: To support HSA accounting records. Users: HSA Accounting Clerks, Accountants and Auditors.

Safeguards: File cabinets and normal Government building security.

Retention and disposal: Number of years held at HSA: 2 yrs. 1 yr warehouse. Number of years held at Federal Records Center before disposal: 7 yrs. How destroyed: in accordance with current regulations.

System manager(s) and address:

HSA-OA (HQ) Chief Accounting & Finance Section
5600 Fishers Lane - Parklawn Bldg. Rm. 16-23
Rockville, Md. 20857

Notification procedure:

Director, Office of Management Policy, HSA
Rm. 14A31
5600 Fishers Lane
Rockville, Md. 20857

Record access procedures: Same as System Manager. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Write to the System Manager and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Promissory note signed by the individual receiving the loan.

Systems exempted from certain provisions of the act: None.

09-15-0027

System name: National Health Service Corps (NHSC), Bureau of Medical Services (BMS) and Indian Health Services (IHS) pre-applicant recruitment and provider file HEW/HSA/BCHS.

Security classification: None.

System location:

Parklawn Building
5600 Fishers Lane
Rockville, Maryland 20857

Categories of individuals covered by the system: NHSC applicants and their spouses, if any, who wish to be assigned to critical health manpower shortage areas; applicants who wish to be assigned to the Public Health Service Bureau of Medical Services; individuals who indicate an interest in an assignment at an Indian Health Service location.

Categories of records in the system: Employment data and preference for site-selection, personal and professional background information.

Authority for maintenance of the system: Public Health Service Act Section 329 (42 U.S.C. 254b); Section 321, 322 (42 U.S.C. 248, 249); Public Law 83-568 (42 U.S.C. 2001).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Locked file cabinets and computer tape.

Retrievability:

Purpose: Matching applicant and spouse, if any, for assignment to critical health manpower shortage areas most suited to their interests; matching applicants for assignments to PHS hospitals or toIHS locations.
Users: Used by Regional Offices, IHS Area Offices and Service Units to pre-negotiate assignments, and used PHS-wide for recruitment programs.
Retrievability: applicant name and number.

Safeguards: Locked file cabinets and used only by Recruitment Services Branch, NHSC staff and Regional Recruiters; BMS staff; IHS staff and Area recruiters. For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines (e.g. security codes) will be used, limiting access to authorized personnel.

Retention and disposal: Maintained for three years, then destroyed.

System manager(s) and address:

Chief, Recruitment Services Branch
Division of Clinical Services, BCHS
5600 Fishers Lane
Rockville, Maryland 20857

Notification procedure: Same as above.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Letters of inquiry, NHSC Site Selection Questionnaire For Physicians, NHSC Site Selection Questionnaire For Dentists and NHSC Site Selection Questionnaire For Spouses; BMS Physician Questionnaire; IHS Medical Student and Physician Questionnaire.

Systems exempted from certain provisions of the act: None.

09-15-0028

System name: PHS Clinical Affiliation Trainee Records. HEW/HSA/BMS.

Security classification: None.

System location: See Appendices 1 and 2 to Patients Medical Record System PHS Hospital/Clinic System.

Categories of individuals covered by the system: Students in PHS training programs or serving clinical affiliation in Public Health Service Hospitals and Clinics.

Categories of records in the system: Transcripts of past education application for training, training program staff and clinical supervisor evaluations and progress reports, course grades and evidence of completion of training requirements.

Authority for maintenance of the system: Public Health Service Act Sec. 321 (42 U.S.C. 248).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: 1. To Educational Program staff of affiliated college/university to provide reports of student trainee's progress in training.

2. To prospective employers for professional reference.

3. To representatives of medical/allied health training program accreditation of PHS Training Programs.

4. To professional boards or associations to certify the students' progress in or completion of training as required for professional license, registration certification, etc.

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

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

Storage: File folders.

Retrievability: Purpose: Communication between educational and supervisory staff for evaluation of trainee. Users: Director of Education at facility, Work and Staff Supervisors, Administration personnel. Retrievability: Alphabetically by last name.

Safeguards: Stored in locked files, access limited to authorized personnel.

Retention and disposal: Number of years held at HSA - indefinitely. How destroyed - shredded.

System manager(s) and address:

Director
Division of Hospitals and Clinics
FCB 03, 6525 Belcrest Road
Hyattsville, Maryland 20782

Notification procedure: Same as system location. The individual should contact directly the PHS facility where training was received giving name, date of birth and approximate dates of training to allow positive identification of the record.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Individual, clinical supervisors, instructors, training program staff and administrative personnel of facility and affiliated college/university.

Systems exempted from certain provisions of the act: None.

09-15-0029

System name: PHS Beneficiary-Contract Medical/Health Care Records. HEW/HSA/BMS.

Security classification: None.

System location:

1. Director, Division of Hospitals and Clinics
Federal Center Bldg 03
6525 Belcrest Road
Hyattsville, MD 20782
2. Director, PHS Hospital responsible for supervision of the area (See Appendix)

Categories of individuals covered by the system: Individuals (primarily American seamen) who are legally entitled to medical or health care by the Public Health Service and who have received medical or health care from health professionals or facilities under contract to the Public Health Service, Bureau of Medical Services.

Categories of records in the system: May inlcude any or all of the following medical history, diagnostic (laboratory/X-ray, etc.) and treatment data, sociologic information, eligibility data including employment history, master's certificate, uniformed services information (employing services, service numbers, duty station, etc.).

Authority for maintenance of the system: PHS Act, Sections 321, 322, 326, (42 USC 248, 249, 253) PL 88-71, Section 1 (42 USC 253a)

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

1. To a non-agency physician, medical facility or laboratory for continued care of the patient.
2. To Department of Transportation (U.S. Coast Guard), National Oceanic & Atmospheric Administration for reports of examination and/or treatment of that agency's personnel or dependents.
3. To the Veterans Administration to assist uniformed services personnel, retirees and veterans obtain medical care or benefits.
4. To the Coast Guard for reports of American seamen found suffering from medical conditions that are hazardous to themselves.

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

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

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

Storage: Folders in file cabinets or open shelves in locked rooms accessible only to personnel with a need-to-know.

Retrievability: Retrieved by name, uniformed service number which is SSN, and/or Z number. Those records indexed by SSN are retrieved in accordance with 7(a) (2) (B) of the Privacy Act. Used by contract professionals to provide medical care to the beneficiary and to report results of examination and/or treatment used by PHS personnel to verify eligibility and to audit care provided by the contracting professionals.

Safeguards: Filed in locked files or locked rooms in the contracting professional's office/facility. Records are accessible only to contractors or PHS professionals with a need-to-know for the performance of their official duties.

Retention and disposal: Retained in the contracting professional's facility files until the contract is terminated. Then turned over to the supervisory PHS facility for transmittal to a new contracting professional or storage at a Federal Records Center. When stored in a Federal Records Center, active duty uniformed services personnel records are stored for 50 years, other beneficiaries' records for 25 years. Destruction at that time is in accordance with standard practices of the Federal Records Center.

System manager(s) and address:

Director
Division of Hospitals and Clinics
Federal Center Building 03
6525 Belcrest Road
Hyattsville, Maryland 20782

Notification procedure: Inquiries should be addressed to the PHS facility supervising the area where care has been obtained from a contract source. (See listing in Appendix). Individual must provide name, beneficiary category, date of birth, service number/Z number (if applicable) and name and location of source of contract care. An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Individual, employers, other medical care providers, families and social agencies.

Systems exempted from certain provisions of the act: None.

Appendix

HOSPITAL STATES
Director, USPHS Hospital
3100 Wyman Park Drive
Baltimore, Maryland 21211

Delaware, District of Columbia, Illinois, Indiana, Iowa
Maryland, Michigan, Minnesota, Ohio, Pennsylvania, West Virginia
Wisconsin

Director, USPHS Hospital
77 Warren Street
Boston (Brighton), MA 02135

Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont

Director, USPHS Hospital
4400 Avenue N
Galveston, TX 77550

Colorado, Kansas, New Mexico, Oklahoma, Texas

Director, USPHS Hospital
6500 Hampton Boulevard
Larchmont
Norfolk, VA 23508

Georgia, North Carolina, South Carolina, Virginia

Director, USPHS Hospital
210 State Street
New Orleans, LA 70118

Alabama, Arkansas, Canal Zone, Florida, Kentucky, Louisiana,
Mississippi, Missouri, Puerto Rico, Tennessee, Virgin Islands
Director, USPHS Hospital
15th Ave. & Lake Street
San Francisco, CA 94118

Arizona, California, Hawaii, Nevada, Utah

Director, USPHS Hospital
P.O. Box 3145 or
1131 14th Avenue South
Seattle, WA 98114

Alaska, Idaho, Montana, Nebraska, North Dakota, Oregon, South Dakato, Washington, Wyoming

Director, USPHS Hospital
Bay Street & Vanderbilt Avenue
Staten Island, NY 10304

New Jersey, New York /*

09-25-0001

System name: Clinical Research: Patient Records. HEW/NIH/NHLBI.

Security classification: None.

System location:

Building 10, NIH
9000 Rockville Pike
Bethesda, Md 20014

Categories of individuals covered by the system: Patients of the National Heart, Lung, and Blood Institute under study at NIH.

Categories of records in the system: Medical histories, diagnostic studies, laboratory data, treatment.

Authority for maintenance of the system: 42 USC 241e, 287, 287a.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Clinical research data are made available to approved or collaborating researchers, including DHEW contractors and grantees. Certain infectious diseases are reported to State Government as required by law. Referrals may be made of assignments of research investigators and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange, (Appendix B, Department Regulations 45 CFR Part 5b, item 2). Information may also be used to respond to Congressional inquiries for constituents concerning admission to the NIH Clinical Center. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: File folders, card index, laboratory books, computer memory.

Retrievability: Indexed by name or patient number. HEW use: These records are used by physicians in the evaluation and treatment of patients under study at the NIH.

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

Retention and disposal: Years at NIH: indefinitely.

System manager(s) and address:

Administrative Officer, DIR, NHLBI
Building 10, NIH
9000 Rockville Pike
Bethesda, MD 20014

Notification procedure:

Privacy Coordinator, NHLBI
Building 31, Room 5A50, NIH
9000 Rockville Pike
Bethesda, MD 20014 An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the

representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Referring physicians, hospitals and medical centers, patients and families, results of procedures and tests on NIH patients.

Systems exempted from certain provisions of the act: None.

09-25-0002

System name: Clinical Research: Phonocardiogram. HEW/NIH/NHLBI.

Security classification: None.

System location:

Building 10, Room 6N258, NIH
9000 Rockville Pike
Bethesda, MD 20014

Categories of individuals covered by the system: Heart surgery patients in the NIH Clinical Center with Prosthetic valves implanted.

Categories of records in the system: Medical records.

Authority for maintenance of the system: 42 USC 241.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Clinical research data are made available to approved or collaborating researchers, including DHEW contractors and grantees. Information may be used to respond to Congressional inquiries for constituents concerning admission to the NIH Clinical Center. Referrals may be made of assignments of research investigators and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange, (Appendix B, Department Regulations 45 CFR Part 5b, item 2). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: They are stored on magnetic tapes, in log books, and in file folders.

Retrievability: They are retrieved by name. HEW use: For research to develop non-invasive diagnostic techniques for detecting prosthetic valve dysfunction.

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

Retention and disposal: Years at NIH: indefinitely.

System manager(s) and address:

Senior Surgeon, Surgery Branch, NHLBI
Building 10, Room 6N256
9000 Rockville Pike
Bethesda, Md. 20014

Notification procedure:

Privacy Act Coordinator, NHLBI
Building 31, Room 5A50
9000 Rockville Pike
Bethesda, Md. 20014 An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: NIH patient records.

Systems exempted from certain provisions of the act: None.

09-25-0003

System name: Administration: Authorized Radionuclide Users File. HEW/NIH/DRS.

Security classification: None.

System location:

Building 21, Room 116, NIH
9000 Rockville Pike
Bethesda, MD 20014

Categories of individuals covered by the system: Research Investigators within NIH and outside holding NIH-NRC Broad License for radioactive material.

Categories of records in the system: Radioactive material users.

Authority for maintenance of the system: 42 USC 241.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Training and experience information transferred to place of new employment. Personnel exposure data transferred to place of new employment. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: They are stored in file cabinet.

Retrievability: They are retrieved by name. HEW use: Establish training and experience in the use of radioactive material and to estimate radiation dose to workers.

Safeguards: Access limited to authorized personnel (system manager and his staff).

Retention and disposal: Years at NIH: indefinitely.

System manager(s) and address:

Chief, Radiation Safety Branch
Building 21, NIH
9000 Rockville Pike
Bethesda, MD 20014

Notification procedure: Write to System Manager.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Individual, previous employers and educational institutions.

Systems exempted from certain provisions of the act: None.

09-25-0004

System name: Administration: NIH Chemical Carcinogen Registry. HEW/NIH/DRS.

Security classification: None.

System location:

Building 12
9000 Rockville Pike
Bethesda, MD 20014

Categories of individuals covered by the system: Researchers, laboratory workers and NIH employees potentially exposed to chemical carcinogens.

Categories of records in the system: Certain chemical carcinogens, work station locations, kinds of facilities.

Authority for maintenance of the system: 5 USC 7902; 29 USC 654.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: They are stored on computer tapes.

Retrievability: They are retrieved by name. HEW use: To determine location of work using chemical carcinogens so that a comprehensive surveillance program can be maintained and to provide information for medical examinations.

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

Retention and disposal: Years at NIH: 20. Disposal methods include burning or shredding paper materials and erasing computer tapes.

System manager(s) and address:

Chief, Environmental Industrial Hygiene Section, ESB
Building 13, Room 3K-04, NIH
9000 Rockville Pike
Bethesda, MD 20014

Notification procedure: Write to System Manager.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Employee and supervisor.

Systems exempted from certain provisions of the act: None.

09-25-0005

System name: Administration: NIH Library Circulation and User I.D. File. HEW/NIH/DRS.

Security classification: None.

System location:

Building 10, Room 1L25B, NIH
9000 Rockville Pike
Bethesda, MD 20014

Categories of individuals covered by the system: NIH employees.

Categories of records in the system: Library records.

Authority for maintenance of the system: 42 USC 241.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto. (Appendix B, Departmental Regulations (45 CFR Part 5b) Item 1.). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: They are stored on computer tape and file cards.

Retrievability: They are retrieved by name. HEW use: Used by Library staff for library material control.

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

Retention and disposal: Years at NIH: 3. Disposal methods include burning or shredding paper materials and erasing computer tapes.

System manager(s) and address:

Chief, Reader Service Section
Building 10, Room 1L21, NIH
9000 Rockville Pike
Bethesda, MD 20014

Notification procedure: Write to System Manager.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Individual, NIH Library ID card data.

Systems exempted from certain provisions of the act: None.

09-25-0007

System name: Administration: NIH Safety Glasses Issuance Program. HEW/NIH/DRS.

Security classification: None.

System location:

Building 31, Room B1C-08, NIH
9000 Rockville Pike
Bethesda, MD 20014

Categories of individuals covered by the system: Applicants for safety glasses.

Categories of records in the system: Explanation of eye impact hazard occupation.

Authority for maintenance of the system: 5 USC 7902, 3.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: They are stored in file folders.

Retrievability: They are retrieved by name. HEW use: Request for safety glasses form used for proper distribution of safety glasses and for proof of delivery.

Safeguards: Access limited to authorized personnel (system manager and his staff).

Retention and disposal: Years at NIH: Retained until employee terminates hazardous occupation.

System manager(s) and address:

Chief, Occupational Safety and Health Activities Section, ESB
Building 31, Room B1C-08
9000 Rockville Pike
Bethesda, MD 20014

Notification procedure: Write to System Manager.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Employee, supervisor, and eye examination data.

Systems exempted from certain provisions of the act: None.

09-25-0008

System name: Administration: Radiation Workers Monitoring. HEW/NIH/DRS.

Security classification: None.

System location:

Building 21, Room 134, NIH
9000 Rockville Pike
Bethesda, MD 20014

Categories of individuals covered by the system: NIH workers using radioactive materials or radiation producing equipment.

Categories of records in the system: Radiation exposure incident reports, film badge exposure reports, urine & whole body counting reports.

Authority for maintenance of the system: 5 USC 7902.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Transfer radiation exposure history to new employer or to Nuclear Regulatory Commission on their request. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: They are stored in card file.

Retrievability: They are retrieved by name and group number. HEW use: Requirement of Nuclear Regulatory Commission to maintain internal and external radiation exposure data and any radiation incident follow-up reports.

Safeguards: Access limited to authorized personnel (system manager and his staff).

Retention and disposal: Years at NIH: idefinitely.

System manager(s) and address:

Radiation Safety Officer
Building 21, Room 108, NIH
9000 Rockville Pike
Bethesda, MD 20014

Notification procedure: Write to System Manager.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Previous employer and education institutions, laboratory supervisor, NIH.

Systems exempted from certain provisions of the act: None.

09-25-0009

System name: Clinical Research: Radiotherapy Patient File. HEW/NIH/DRS.

Security classification: None.

System location:

Building 21, Room 139, NIH
9000 Rockville Pike
Bethesda, MD 20014

Categories of individuals covered by the system: NIH patients who have received radiotherapy doses.

Categories of records in the system: Radiotherapy patient records.

Authority for maintenance of the system: 5 USC 7902; 42 USC 241.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Nuclear Regulatory Commission upon its request. Clinical research data are made available to approved or collaborating researchers, including DHEW contractors and grantees. Information may be used to respond to Congressional inquiries for constituents concerning admission to the NIH Clinical Center. Referrals may be made of assignments of research investigators and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange, (Appendix B, Department Regulations 45 CFR Part 5b, item 2). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to ef-

fectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: They are stored in file cabinet.

Retrievability: They are retrieved by patient name. HEW use: Establish a record of patients receiving radiotherapy doses. Record quantity of material given, type of material, workers involved in patient handling and any radiation exposure received by workers.

Safeguards: Access limited to authorized personnel (system manager and his staff).

Retention and disposal: Years at NIH: indefinitely.

System manager(s) and address:

Chief, Radiation Safety Branch
Building 21, Room 108, NIH
9000 Rockville Pike
Bethesda, MD 20014

Notification procedure: Write to System Manager. An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Clinical Center NIH, Radiopharmacy NIH, individual patient.

Systems exempted from certain provisions of the act: None.

09-25-0010

System name: Research Resources: Registry of Microbial Agents, Toxins, Tissue Cultures and Animals & Users. HEW/NIH/DRS.

Security classification: None.

System location:

Building 12, NIH
9000 Rockville Pike
Bethesda, MD 20014

Categories of individuals covered by the system: Individuals potentially exposed to biohazardous microbial agents and toxins.

Categories of records in the system: Microbial agents registry.

Authority for maintenance of the system: 42 USC 241.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: They are stored on magnetic tape.

Retrievability: They are retrieved by name and SSN for verification where the latter is voluntarily provided. HEW use: To serve as a base for organizations involved in day-to-day operation of the program. To identify scientists and laboratories with expertise in the use of particular biological agents. To identify potential hazards. To determine needs for educational programs. To provide an information base for investigators on specific programs and hazards.

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

Retention and disposal: Years at NIH: Indefinitely.

System manager(s) and address:

Chief, Biological Control Section
Building 13, Room 3K04, NIH
9000 Rockville Pike
Bethesda, MD 20014

Notification procedure: Write to System Manager.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Supervisor and employee.

Systems exempted from certain provisions of the act: None.

09-25-0011

System name: Clinical Research: Blood Donor Records. HEW/NIH/CC.

Security classification: None.

System location:

Building 10A, Room 1E33, NIH
9000 Rockville Pike
Bethesda, MD 20014

Categories of individuals covered by the system: Donors of blood and blood components to be used in the NIH Clinical Center for patient transfusions.

Categories of records in the system: Past donations, blood types, phenotype.

Authority for maintenance of the system: 42 USC 263.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Clinical research data are made available to approved or collaborating researchers, including DHEW contractors and grantees. Certain infectious diseases are reported to State Government as required by law. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: They are stored in a computer file and on donor cards.

Retrievability: They are retrieved by name and SSN for verification when the latter is voluntarily provided. HEW use: Permanent medical history of all donors for the transfusion record of each blood unit. Laboratory results on each unit-record are hepatitis B antigen testing, serologic reactions on all blood samples, donations of blood or blood components.

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

Retention and disposal: Years at NIH: 7. Disposal methods include burning or shredding paper materials and erasing computer tapes.

System manager(s) and address:

Chief, Blood Bank, CC
Building 10A, Room 1E33, NIH
9000 Rockville Pike
Bethesda, MD 20014

Notification procedure: Write to System Manager. An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures:

Director, Clinical Center
Building 10, Room 1N212, NIH
9000 Rockville Pike
Bethesda, MD 20014 Requesters should also reasonably secify the record contents being sought.

Contesting record procedures: Write to the official at the address specified under ACCESS procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Data are collected from the individual.

Systems exempted from certain provisions of the act: None.

09-25-0012

System name: Clinical Research: Candidate Normal Volunteer Records. HEW/NIH/CC.

Security classification: None.

System location:

Building 10, Room 7D50, NIH
9000 Rockville Pike
Bethesda, MD 20014

Categories of individuals covered by the system: Normally healthy individuals who volunteer to participate in NIH studies.

Categories of records in the system: Health Questionnaire.

Authority for maintenance of the system: 42 USC 241, 263.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Clinical research data are made available to approved or collaborating researchers, including DHEW contractors and grantees. Certain infectious diseases are reported to State Government as required by law. Information may be used to respond to Congressional inquiries for constituents concerning admission to the NIH Clinical Center. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: They are stored on index cards.

Retrievability: They are retrieved by name. HEW Uses: By Normal Volunteers Office and NIH physicians to determine suitability for admission as normal volunteers.

Safeguards: Access limited to authorized personnel. Records are maintained in a room that is locked when unattended.

Retention and disposal: Years at NIH: 3. Disposal methods include burning or shredding paper materials and erasing computer tapes.

System manager(s) and address:

Chief, Normal Volunteer Program
Building 10, Room 7D50, NIH
9000 Rockville Pike
Bethesda, MD 20014

Notification procedure: Write to System Manager. An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures:

Director, Clinical Center
Building 10, Room 1N212, NIH
9000 Rockville Pike
Bethesda, MD 20014 Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Write to the official at the address specified under ACCESS procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Volunteer, sponsoring contractor.

Systems exempted from certain provisions of the act: None.

09-25-0013

System name: Clinical Research: Preadmission Medical Records. HEW/NIH/CC.

Security classification: None.

System location:

Building 10, Room 1N248, NIH
9000 Rockville Pike
Bethesda, MD 20014

Categories of individuals covered by the system: Potential patients.

Categories of records in the system: Medical history and letters from individuals and referring physicians.

Authority for maintenance of the system: 42 USC 241, 248.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information may be used to respond to Congressional inquiries for constituents concerning admission to the NIH Clinical Center. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: They are stored in folders.

Retrievability: They are retrieved by name. HEW use: Referred to appropriate NIH Institutes for determination of appropriateness of individual for participation in research projects. HEW users: Clinical staff employed by HEW.

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

Retention and disposal: Years at NIH: 3. Disposal methods include burning or shredding paper materials and erasing computer tapes.

System manager(s) and address:

Chief, Office of Clinical Reports & Inquiries
Building 10, Room 1N248, NIH
9000 Rockville Pike
Bethesda, MD 20014

Notification procedure: Write to System Manager. An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in ac-

cordance with Department Regulations (45 CFR, Section 5b.6) Federal Registerv October 8, 1975, page 47411.).

Record access procedures:

Director, Clinical Center
Building 10, Room 1N212, NIH
9000 Rockville Pike
Bethesda, MD 20014 Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Write to the official at the address specified under ACCESS procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Referring physicians, individuals, families or members of Congress.

Systems exempted from certain provisions of the act: None.

09-25-0014

System name: Clinical Research: Student Records. HEW/NIH/CC.

Security classification: None.

System location:

Building 10, NIH
9000 Rockville Pike
Bethesda, MD 20014

Categories of individuals covered by the system: Potential and accepted associates, medical students, and other students in NIH training programs.

Categories of records in the system: Application form, transcripts, references, evaluations.

Authority for maintenance of the system: 42 USC 241.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information may be used to respond to Congressional inquiries for constituents concerning admission to the program. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: They are stored in file folders.

Retrievability: They are retrieved by name and year. HEW use: Used by Institutes for selecting associates and medical students for elective program, and by Nursing, Social Work, Medical Records Departments in maintaining records on students in those Departments for training purposes.

Safeguards: Records are maintained in locked cabinets with access limited to authorized personnel (system manager and his staff).

Retention and disposal: Years at NIH: indefinitely.

System manager(s) and address:

Associate Director, CC
Building 10, Room 1N206, NIH
9000 Rockville Pike
Bethesda, MD 20014

Notification procedure: Write to System Manager. An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures:

Director, CC
Building 10, Room 1N212, NIH
9000 Rockville Pike
Bethesda, MD 20014 Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Write to the official at the address specified under ACCESS procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Applicants, universities and teachers.

Systems exempted from certain provisions of the act: None.

09-25-0015

System name: Clinical Research: Collaborative Clinical Epilepsy Research. HEW/NIH/NINCDS.

Security classification: None.

System location:

Building 12, NIH
9000 Rockville Pike
Bethesda, MD 20014
and Regional Federal Records Center

Categories of individuals covered by the system: Patients participating in NINCDS-sponsored clinical epilepsy research.

Categories of records in the system: Clinical data.

Authority for maintenance of the system: 42 USC 241, 289a, 289c.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Clinical research data are made available to approved or collaborating researchers, including DHEW contractors and grantees. Information may be used to respond to Congressional inquiries for constituents concerning admission to the NIH Clinical Center. Referrals may be made of assignments of research investigators and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange, (Appendix B, Department Regulations 45 CFR Part 5b, item 2). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: They are stored in file folders and on magnetic tape and discs.

Retrievability: They are retrieved by ID number. HEW Uses: Research in epilepsy including investigational new drug studies, and clinical neurophysiology to improve treatment of persons with seizures. HEW users are NIH scientists.

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

Retention and disposal: Years at NIH: 10. Years at Federal Records Center: 15.

System manager(s) and address:

Chief, Epilepsy Branch, NINCDS
Federal Building, Room 114
7550 Wisconsin Avenue
Bethesda, MD 20014

Notification procedure:

Head, Admin. Mgmt. Section
Building 31, Room 8A47
9000 Rockville Pike
Bethesda, MD 20014 An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Clinical treatment records from physicians, nurses, and other sources of care.

Systems exempted from certain provisions of the act: None.

09-25-0016

System name: Clinical Research: Collaborative Perinatal Project. HEW/NIH/NINCDS.

Security classification: None.

System location:

Federal Building, NIH
7550 Wisconsin Ave.
Bethesda, MD 20014
and Regional Federal Records Center

Categories of individuals covered by the system: Women in the perinatal study of NIH during their pregnancies, their children, husbands, fathers of children and other family members.

Categories of records in the system: Medical histories and examinations.

Authority for maintenance of the system: 42 USC 241, 289a, 289c.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Clinical research data are made available to approved or collaborating researchers, including DHEW contractors and grantees. Certain infectious diseases are reported to State Government as required by law. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Referrals may be made of assignments of research investigators and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange, (Appendix B, Department Regulations 45 CFR Part 5b, item 2). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: They are stored in file folders, on punch cards and magnetic tape, computer printouts, and on microfilm.

Retrievability: They are retrieved by identifying number assigned to the mother. HEW Use: Purpose: Statistical and case history, biomedical research with research findings published without identification of individuals. HEW User: Biomedical researchers employed by DHEW.

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

Retention and disposal: Years at NIH: indefinitely. Some records are sent to the Federal Records Center and held for 3 years.

System manager(s) and address:

Chief, Developmental Neurology Branch, NINCDS
Federal Building, NIH
7550 Wisconsin Ave.
Bethesda, MD 20014

Notification procedure:

Head, Adminstration Management Section
Building 31, Room 8A47, NIH
9000 Rockville Pike
Bethesda, MD 20014 An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.). *

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Mother, child, father, biomedical examiners, hospital & clinic records, schools.

Systems exempted from certain provisions of the act: None.

09-25-0017

System name: Clinical Research: Epidemiology Studies Files. HEW/NIH/NINCDS

Security classification: None.

System location: Regional Federal Records Center

Categories of individuals covered by the system: 1. Persons with Multiple Sclerosis in the Comanche County study of NIH.

2. Persons with Polymyositis in the NIH study.

3. Persons with Creutzfeld-Jacob Disease in the NIH study.

4. Guam Construction Workers: Admissions to hospitals with diagnosis of stroke 1972-73.

5. Persons with Multiple Sclerosis who have a twin and who are participants in the NIH study.

6. Person with Parkinson's Disease in NIH-related studies.

7. Registered nurses in the NIH study who were exposed to infectious diseases in the course of patient treatment during their pregnancies.

8. Persons with ulcers who participated in the Veterans' Administration study.

Categories of records in the system: Medical findings and outcome.

Authority for maintenance of the system: 42 USC 241, 289a, 289c.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Clinical research data are made available to approved or collaborating researchers, including DHEW contractors and grantees. Information may be used to respond to Congressional inquiries for constituents concerning admission to the NIH Clinical Center. Referrals may be made of assignments of research investigators and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange, (Appendix B, Department Regulations 45 CFR Part 5b, item 2). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: They are stored in file folders.

Retrievability: They are retrieved by name. HEW use: For epidemiological analyses and research. HEW users: epidemiologists and authorized staff.

Safeguards: Access limited to authorized personnel (system manager and his staff).

Retention and disposal: Years at NIH: indefinitely.

System manager(s) and address:

Head, Section on Epidemiology, NINCDS
Federal Building, Room 7C10A
7550 Wisconsin Ave.
Bethesda, MD 20014

Notification procedure:

Head, Admin. Mgmt. Section
Building 31, Room 8A47, NIH
9000 Rockville Pike
Bethesda, MD 20014 An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Hospital and physicians records.

Systems exempted from certain provisions of the act: None.

09-25-0019

System name: Clinical Research: Genetic Counseling. HEW/NIH/NINCDS.

Security classification: None.

System location:

Federal Building, NIH
7550 Wisconsin Ave.
Bethesda, MD 20014

Categories of individuals covered by the system: Individuals referred to NIH by their physicians for advice about genetic problems in their families.

Categories of records in the system: Family histories, medical histories, laboratory findings, physicians reports.

Authority for maintenance of the system: 42 USC 241, 289a, 289c.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Clinical research data are made available to approved or collaborating researchers, including DHEW contractors and grantees. Certain infectious diseases are reported to State Government as required by law. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Referrals may be made of assignments of research investigators and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange, (Appendix B, Department Regulations 45 CFR Part 5b, item 2). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: They are stored in file folders.

Retrievability: They are retrieved by name. HEW use: To maintain record of advice given; to assess, in time, the efficacy and value of genetic counseling. HEW Users: biomedical researchers employed by DHEW.

Safeguards: Access limited to authorized personnel (system manager and his staff).

Retention and disposal: Years at NIH: indefinitely.

System manager(s) and address:

Research Geneticist, PRB
Federal Building, NIH
7550 Wisconsin Ave.
Bethesda, MD 20014

Notification procedure:

Head, Admin. Mgmt. Section
Building 31, Room 8A44, NIH
9000 Rockville Pike
Bethesda, MD 20014 An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Referring physicians.

Systems exempted from certain provisions of the act: None.

09-25-0020

System name: Clinical Research: Genetics of Neurological Disorders. HEW/NIH/NINCDS.

Security classification: None.

System location:

Federal Building, NIH
7550 Wisconsin Avenue
Bethesda, MD 20014

Categories of individuals covered by the system: Individuals with hereditary nervous system disorders and their unaffected relatives in the NIH study.

Categories of records in the system: Family histories, medical histories, laboratory findings.

Authority for maintenance of the system: 42 USC 241, 289a, 289c.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Clinical research data are made available to approved or collaborating researchers, including DHEW contractors and grantees. Information may be used to respond to Congressional inquiries for constituents concerning admission to the NIH Clinical Center. Referrals may be made of assignments of research investigators and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange, (Appendix B, Department Regulations 45 CFR Part 5b, item 2). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: They are stored in file folders and on index cards.

Retrievability: They are retrieved by name and ID number. HEW use: Research in genetics of neurological disorders: determination

of mode of inheritance, epidemiologic characteristics, mutation rate, population dynamics, detection of heterozygote, metabolic defect. HEW users: biomedical researchers employed by DHEW.

Safeguards: Access limited to authorized personnel (system manager and his staff).

Retention and disposal: Years at NIH: indefinitely.

System manager(s) and address:

Research Geneticist, DNB
Federal Building, NIH
7550 Wisconsin Avenue
Bethesda, MD 20014

Notification procedure:

Head, Admin. Management Section
Building 31, Room 8A44, NIH
9000 Rockville Pike
Bethesda, MD 20014 An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Patients, relatives, physicians, hospital records.

Systems exempted from certain provisions of the act: None.

09-25-0021

System name: Clinical Research: Guam Patient/Control Registry. HEW/NIH/NINCDS.

Security classification: None.

System location:

Building 36, Room 5D03, NIH
9000 Rockville Pike
Bethesda, MD 20014

Categories of individuals covered by the system: Research patients of NIH on Guam.

Categories of records in the system: Medical and demographic data.

Authority for maintenance of the system: 42 USC 241, 289a, 289c.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Clinical research data are made available to approved or collaborating researchers, including DHEW contractors and grantees. Certain infectious diseases are reported to Territorial authorities as required by law. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Referrals may be made of assignments of research investigators and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange, (Appendix B, Department Regulations 45 CFR Part 5b, item 2). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: They are stored in file folders, on punch cards, magnetic tape, index cards, and print-out sheets.

Retrievability: They are retrieved by name, ID number. HEW use: Medical research on patients.

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

Retention and disposal: Years at NIH: indefinitely.

System manager(s) and address:

Director, Intramural Research, NINCDS
Building 36, Room 5A05, NIH
9000 Rockville Pike
Bethesda, MD 20014

Notification procedure:

Head, Admin. Management Section
Building 31, Room 8A47, NIH
9000 Rockville Pike
Bethesda, MD 20014 An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Individuals and their families.

Systems exempted from certain provisions of the act: None.

09-25-0024

System name: Clinical Research: Medical Neurology Branch Medical Histories. HEW/NIH/NINCDS.

Security classification: None.

System location:

Building 10, Room 10D-18, NIH
9000 Rockville Pike
Bethesda, MD 20014

Categories of individuals covered by the system: Patients in the Medical Neurology Branch, National Institute of Neurological and Communicative Disorders and Stroke.

Categories of records in the system: Medical history.

Authority for maintenance of the system: 42 USC 241, 289a, 289c.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Clinical research data are made available to approved or collaborating researchers, including DHEW contractors and grantees. Certain infectious diseases are reported to State Government as required by law. Information may be used to respond to Congressional inquiries for constituents concerning admission to the NIH Clinical Center. Referrals may be made of assignments of research investigators and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange, (Appendix B, Department Regulations 45 CFR Part 5b, item 2). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such

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

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

Storage: They are stored in file folders.

Retrievability: They are retrieved by name, ID number and by diagnosis. HEW use: HEW user: Chief, Medical Neurology Branch, or his authorized assistants in the Branch for research purposes.

Safeguards: Access limited to authorized personnel (system manager and his staff).

Retention and disposal: Years at NIH: indefinitely.

System manager(s) and address:

Chief, Medical Neurology Branch
Building 10, Room 10D-18, NIH
9000 Rockville Pike
Bethesda, MD 20014

Notification procedure:

Head, Admin. Mgmt. Section
Building 31, Room 8A47, NIH
9000 Rockville Pike
Bethesda, MD 20014 An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Referring physicians.

Systems exempted from certain provisions of the act: None.

09-25-0026

System name: Clinical Research: Nervous System Studies. HEW/NIH/NINCDS.

Security classification: None.

System location:

Building 36, Room 5B20, NIH
9000 Rockville Pike
Bethesda, MD 20014

Categories of individuals covered by the system: Research patients in NIH-related studies having nervous system disorders.

Categories of records in the system: Medical and demographic data.

Authority for maintenance of the system: 42 USC 241, 289a, 289c.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Clinical research data are made available to approved or collaborating researchers, including DHEW contractors and grantees. Certain infectious diseases are reported to State Government as required by law. Information may be used to respond to Congressional inquiries for constituents concerning admission to the NIH Clinical Center. Referrals may be made of assignments of research investigators and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange, (Appendix B, Department Regulations 45 CFR Part 5b, item 2). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: They are stored in file folders, on magnetic tape, and on print-out sheets.

Retrievability: They are retrieved by name, disease and attending physician name. HEW use: Medical Research. HEW users: physicians and scientists working at the Central Nervous System Studies Lab, NINCDS/NIH.

Safeguards: Access limited to authorized personnel (system manager and his staff).

Retention and disposal: Years at NIH: indefinitely.

System manager(s) and address:

Chief, Central Nervous System Studies Lab.
Building 31, Room 5B20, NIH
9000 Rockville Pike
Bethesda, MD 20014

Notification procedure:

Head, Admin. Management Section
Building 31, Room 8A47, NIH
9000 Rockville Pike
Bethesda, MD 20014 An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: From attending physicians.

Systems exempted from certain provisions of the act: None.

09-25-0028

System name: Clinical Research: Patient Medical Histories. HEW/NIH/NINCDS.

Security classification: None.

System location:

Building 10 & Building 31, NIH
9000 Rockville Pike
Bethesda, MD 20014

Categories of individuals covered by the system: Past and present patients of the National Institute of Neurological and Communicative Disorders and Stroke, and individuals being referred for admission to the NIH Clinical Center.

Categories of records in the system: Medical histories.

Authority for maintenance of the system: 42 USC 241, 289a, 289c.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Clinical research data are made available to approved or collaborating researchers, including DHEW contractors and grantees. Certain infectious diseases are reported to State Government as required by law. Information may be used to respond to Congressional inquiries for constituents concerning admission to the NIH Clinical Center. Referrals may be made of assignments of research investigators and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange, (Appendix B, Department Regulations 45 CFR Part 5b, item 2). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the

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

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

Storage: They are stored in file folders.

Retrievability: They are retrieved by name. HEW use: For patient care and treatment, evaluation of therapeutic procedures.

Safeguards: Access limited to authorized personnel (system manager and his staff).

Retention and disposal: Years at NIH: indefinitely.

System manager(s) and address:

Director of Intramural Research
Building 36, Room 5A05, NIH
9000 Rockville Pike
Bethesda, MD 20014

Notification procedure:

Head, Administrative Mgmt. Section
Building 31, Room 8A47, NIH
9000 Rockville Pike
Bethesda, MD 20014 An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Referring and attending physicians, hospital records.

Systems exempted from certain provisions of the act: None.

09-25-0031

System name: Clinical Research: Serological and Virus Data in Studies Related to the Central Nervous System. HEW/NIH/NINCDS.

Security classification: None.

System location:

Building 36, Room 5D04, NIH
9000 Rockville Pike
Bethesda, MD 20014
and Regional Federal Records Center

Categories of individuals covered by the system: Patients with possible perinatal, acute or chronic diseases and normal volunteers in NIH-related studies pertaining to the central nervous system.

Categories of records in the system: Laboratory findings for viruses.

Authority for maintenance of the system: 42 USC 241, 289a, 289c.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Clinical research data are made available to approved or collaborating researchers, including DHEW contractors and grantees. Certain infectious diseases are reported to State Government as required by law. Information may be used to respond to Congressional inquiries for constituents concerning admission to the NIH Clinical Center. Referrals may be made of assignments of research investigators and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange, (Appendix B, Department Regulations 45 CFR Part 5b, item 2). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: They are stored on papers and in file filders.

Retrievability: They are retrieved by name and number. HEW use: Research on role of infections and development of vaccines for CNS diseases; serological and virus data for patients.

Safeguards: Access limited to authorized personnel (system manager and his staff).

Retention and disposal: Years at NIH: 15.

Years at Federal Records Center: 20.

System manager(s) and address:

Chief, Infectious Diseases Branch, IR
Building 36, Room 5D04, NIH
9000 Rockville Pike
Bethesda, MD 20014

Notification procedure:

Head, Admin. Management Section
Building 31, Room 8A47, NIH
9000 Rockville Pike
Bethesda, MD 20014 An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Hospital records; volunteers and laboratory data.

Systems exempted from certain provisions of the act: None.

09-25-0033

System name: International Activities: Fellowships Awarded by Foreign Organizations. HEW/NIH/FIC.

Security classification: None.

System location:

Building 31, Room 2B62, NIH
9000 Rockville Pike
Bethesda, MD 20014
Regional Federal Records Center

Categories of individuals covered by the system: U.S. citizens qualified in health-related sciences submitting applications through NIH for fellowships for study abroad.

Categories of records in the system: Education and employment histories; references.

Authority for maintenance of the system: 42 USC 2421.

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

operating agency review panel, the applications and all supporting documents are forwarded to the awarding agency. In addition, such applications may be made available to authorized employees and agents of the US including the General Accounting Office, for purposes of investigations, inspections and audits, and, in appropriate cases to the Department of Justice for proper action under civil and criminal laws. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: They are stored in file folders.

Retrievability: They are retrieved by name and fellowship number. HEW use: Fogarty International Center program staff collect and review the applications, after which operating agency review committees make selections. Where applicable, information is transmitted to the Office of International Health.

Safeguards: Access limited to authorized personnel (system manager and his staff).

Retention and disposal: Years at NIH: 1. Number of years held at Federal Records Center before disposal: 5.

System manager(s) and address:

Chief, Scholars & Fellowship Br.
Building 31, Room 2B58, NIH
9000 Rockville Pike
Bethesda, MD 20014

Notification procedure: Requests for notification of or access to records should be addressed to the system manager, as listed above. Verification of identity is required. (These notification and access procedures are in accordance with Department Regulations (45 CFR Part 5b.5) Federal Register October 8, 1975, page 47410).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Applicants and persons supplying references.

Systems exempted from certain provisions of the act: None.

09-25-0034

System name: International Activities: Scholars Program. HEW/NIH/FIC.

Security classification: None.

System location:

Building 31, Room 2B62, NIH
9000 Rockville Pike
Bethesda, MD 20014
Regional Federal Records Center

Categories of individuals covered by the system: Distinguished U.S. science leaders and scholars invited to accept NIH scholarships.

Categories of records in the system: Employment and education histories; references.

Authority for maintenance of the system: 42 USC 2421.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information is made available to authorized employees and agents of the US, including the General Accounting Office, for purposes of investigations, inspections and audits, and in appropriate cases, to the Department of Justice for proper action under civil and criminal laws. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: They are stored in file folders and on magnetic tapes.

Retrievability: They are retrieved by name. HEW use: This program was established to facilitate the exchange of ideas among distinguished science leaders and scholars who spend from 3 to 12 months in residence at NIH. Biographical information and references are assembled by Fogarty International Center (FIC) program staff for use by the operating agency review committee, and invitations are extended by the Director, FIC.

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

Retention and disposal: Years at NIH: 1. Number of years held at Federal Records Center before disposal: 5.

System manager(s) and address:

Chief, Scholars & Fellowships Branch
Building 31, Room 2B62, NIH
9000 Rockville Pike
Bethesda, MD 20014

Notification procedure: Requests for notification of or access to records should be addressed to the system manager, as listed above. Verification of identity is required. (These notification and access procedures are in accordance with Department Regulations (45 CFR Part 5b.5) Federal Register October 8, 1975, page 47410).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information obtained from invitees, reference sources, and persons supplying recommendations.

Systems exempted from certain provisions of the act: None.

09-25-0035

System name: International Activities: US Foreign Health Exchange Programs. HEW/NIH/FIC.

Security classification: None.

System location:

Building 31, Room 2C05, NIH
9000 Rockville Pike
Bethesda, MD 20014
Regional Federal Records Center

Categories of individuals covered by the system: U.S. citizens applying for participation in international health exchange programs through NIH.

Categories of records in the system: Educational, employment, & health records.

Authority for maintenance of the system: 42 USC 2421.

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

to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Applications may be furnished selected evaluators. Information is furnished pertinent staffs of the relevant foreign ministry for acceptance purposes. Applications are made available to authorized employees and agents of the United States, including the General Accounting Office, for the purpose of inspections and audits, and, in appropriate cases, to the Department of Justice for proper action under civil and criminal laws. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: They are stored in file folders.

Retrievability: They are retrieved by name. HEW use: US citizens with backgrounds relating to the health sciences submit applications for study in countries with which the US has health exchange agreements. Fogarty International Center (FIC) staff prepares the applications for review by an operating ageency review committee which makes the awards. FIC staff applies to foreign ministries for their approval. Information transmitted to Office of International Health. Reports by returnees disseminated as appropriate.

Safeguards: Access limited to authorized personnel (system manager and his staff).

Retention and disposal: Years at NIH: 1. FRC: 5.

System manager(s) and address:

Coordinator, US-Foreign Health Exchange Program Building 31, Room 2C05, NIH
9000 Rockville Pike
Bethesda, MD 20014

Notification procedure: Requests for notification of or access to records should be addressed to the system manager, as listed above. Verification of identity is required. (These notification and access procedures are in accordance with Department Regulations (45 CFR Part 5b.5) Federal Register October 8, 1975, page 47410).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information obtained from applicants and persons supplying references.

Systems exempted from certain provisions of the act: None.

09-25-0036

System name: Grants: IMPAC (Grant/Contract Information). HEW/NIH/DRG.

Security classification: None.

System location:

Westwood Building, Room 1A03B
5333 Westbard Avenue
Bethesda, MD 20016

Categories of individuals covered by the system: Applicant and Principal Investigators; Program Directors; Institutional and Individual Fellows; Research Career Awardees.

Categories of records in the system: Applications, awards, associated records and trainee appoinments.

Authority for maintenance of the system: 42 USC 241c; 58 Stat. 691c & d Repealed.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) To the Smithsonian Science Information Exchange for dissemination of science information (abstracts of research grants only); (2) To the Cognizant Audit Agency for auditing; (3) To the Department of Justice as required for litigation; (4) To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual; (5) To qualified experts not within the definition of Department employees as prescribed in Department Regulations (45 CFR, Part 5b.2) for opinions as a part of the application review process; (6) To a Federal agency, in response to its request, in connection with the letting of a contract, or the issuance of a license, grant or other benefit by the requesting agency, to the extent that the record is relevant and necessary to the requesting agency's decision on the matter; (7) To individuals and organizations deemed qualified by the PHS to carry out specific research related to the review and award processes of the PHS; (8) To organizations in the private sector with whom PHS has contracted for the purpose of collating, analyzing, aggregating or otherwiserefining records in a system. The contractor shall be required to maintain Privacy Act safeguards with respect to such records; (9) To the grantee institution in connection with performance or administration under the terms and conditions of the award. (10) In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: They are stored on discs and magnetic tapes.

Retrievability: They are retrieved by name, application, grant, and contract ID number. HEW use: The records are used by management and operating staff to prepare listing, tabulations, magnetic tapes and other machine processable media, microfiche and publications for administrative purposes such as fiscal operations, budgeting, program direction and planning; public information; research and analysis. Information is also used to maintain communication with former fellows who have incurred obligation through the National Research Service Award Program.

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

Retention and disposal: Years at NIH: indefinitely.

System manager(s) and address:

Chief, Statistics and Analysis Branch, DRG
Westwood Building, Room 1A03B, NIH
5333 Westbard Avenue
Bethesda, MD 20016

Notification procedure:

Privacy Act Coordinator, DRG
Westwood Building, Room 448, NIH
5333 Westbard Avenue
Bethesda, MD 20016

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Individual, individual's educational institution, and references.

Systems exempted from certain provisions of the act: None.

09-25-0037

System name: Clinical Research: Gerontology Research Center Longitudinal Aging Study. HEW/NIH/NIA.

Security classification: None.

System location:

Building 12, NIH
9000 Rockville Pike
Bethesda, MD 20014

Categories of individuals covered by the system: Voluntary participants in the Gerontology Research Center Longitudinal Aging Study, NIH.

Categories of records in the system: Medical histories, psychological and physical test results.

Authority for maintenance of the system: 42 USC 241, 289k-2, k-4.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Clinical research data are made available to approved or collaborating researchers, including DHEW contractors and grantees. Certain infectious diseases are reported to State Government as required by law. Information may be used to respond to Congressional inquiries for constituents concerning admission to the NIH Clinical Center. Referrals may be made of assignments of research investigators and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange, (Appendix B, Department Regulations 45 CFR Part 5b, item 2). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: They are stored in file folders and on computer discs.

Retrievability: They are retrieved by ID number. HEW use: Staff collects & analyzes data as part of a longitudinal study of the human aging process.

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

Retention and disposal: Years at NIH: indefinitely.

System manager(s) and address:

Chief, Clinical Physiology Branch
Gerontology Research Center
Baltimore City Hospitals
Baltimore, MD 21224

Notification procedure: Write to System Manager. An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Individuals, research staff, test results.

Systems exempted from certain provisions of the act: None.

09-25-0038

System name: Clinical Research: Patient Data. HEW/NIH/NIAMDD.

Security classification: None.

System location:

Building 10, Room 9N222, NIH
9000 Rockville Pike
Bethesda, MD 20014

Categories of individuals covered by the system: Current & past patients of the National Institute of Arthritis, Metabolism, and Digestive Diseases.

Categories of records in the system: Patient history, demographic data, miscellaneous correspondence with patients.

Authority for maintenance of the system: 42 USC 241, 289a, 289c.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Clinical research data are available to approved or collaborating researchers, including DHEW contractors and grantees. Certain infectious diseases are reported to State Government as required by law. Information may be used to respond to Congressional inquiries for constituents concerning admission to the NIH Clinical Center. Referrals may be made of assignments of research investigators and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange, (Appendix B, Department Regulations 45 CFR Part 5b, item 2). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: They are stored in file folders and on computer tape.

Retrievability: They are retrieved by name and any data element on computer tape. HEW use: Patient data are used by scientific staff to conduct laboratory experiments, clinical treatment and care of patients, and administrative functions pertaining thereto. The records are used for statistical purposes in preparation of experimental and patient data, for analysis and eventual publication of results in non-identifiable form.

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

Retention and disposal: Years at NIH: indefinitely.

System manager(s) and address:

Chief, Clinical Investigations
Building 10, Room 9N222, NIH
9000 Rockville Pike
Bethesda, MD 20014

Notification procedure:

Administrative Officer
Building 31, Room 9A46, NIH
9000 Rockville Pike
Bethesda, MD 20014 An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Institute Clinical Records.

Systems exempted from certain provisions of the act: None.

09-25-0039

System name: Clinical Research: Diabetes Mellitus Research Study of Southwestern American Indians. HEW/NIH/NIAMDD.

Security classification: None.

System location:

Building 12, NIH
9000 Rockville Pike
Bethesda, MD 20014

Categories of individuals covered by the system: Southwestern American Indians and Caucasian spouses of some who were participants in the NIH Diabetes Mellitus Research Study.

Categories of records in the system: Name, address, demographic data, patient history, and control numbers.

Authority for maintenance of the system: 42 USC 241, 289a, 289c.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Clinical research data are made available to approved or collaborating researchers, including DHEW contractors and grantees. Certain infectious diseases are reported to State Government as required by law. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Referrals may be made of assignments of research investigators and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange, (Appendix B, Department Regulations 45 CFR Part 5b, item 2). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: They are stored on computer tape.

Retrievability: They are retrieved by name or any data element. HEW use: Used by the staff of the National Institute of Arthritis, Metabolism, and Digestive Diseases to gain information on high prevalence of diabetes, arthritis, gall bladder and related diseases among Southwestern American Indians.

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

Retention and disposal: Years at NIH: indefinitely.

System manager(s) and address:

Chief, Phoenix Clinical Research Section
Phoenix Area Indian Hospital, Room 541
Phoenix, AZ 85016

Notification procedure:

Administrative Officer
Building 31, Room 9A46, NIH
9000 Rockville Pike
Bethesda, MD 20014 An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Institute clinical records.

Systems exempted from certain provisions of the act: None.

09-25-0040

System name: Clinical Research: Southwestern American Indian Patient Data. HEW/NIH/NIAMDD.

Security classification: None.

System location:

Phoenix Area Indian Hospital
4214 N. 16th Street, Room 541
Phoenix, AZ 85016

Categories of individuals covered by the system: Current patients of the National Institute of Arthritis, Metabolism, and Digestive Diseases being treated at the Phoenix Area Indian Hospital.

Categories of records in the system: Medical history, treatment schedules, diagnostic records.

Authority for maintenance of the system: 42 USC 241, 289a, 289c.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Clinical research data are made available to approved or collaborating researchers, including DHEW contractors and grantees. Certain infectious diseases are reported to State Government as required by law. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Referrals may be made of assignments of research investigators and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange, (Appendix B, Department Regulations 45 CFR Part 5b, item 2). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: They are stored in file folders.

Retrievability: They are retrieved by name and patient number. HEW use: Used by clinicians and support staff of Phoenix Clinical Research Section for treatment of NIAMDD patients at Phoenix Area Indian Hospital. Records are forwarded to Indian Health Service which maintains records after patient discharge.

Safeguards: Access limited to authorized personnel (system manager and his staff).

Retention and disposal: Years at NIH: Records are stored and destroyed along with other medical records of the Indian Health Service at the Phoenix Area Indian Hospital.

System manager(s) and address:

Chief, Phoenix Clinical Research Section
Phoenix Area Indian Hospital
4212 N. 16th Street
Phoenix, AZ 85016

Notification procedure:

Administrative Officer, NIAMDD
Building 31, Room 9A46
9000 Rockville Pike
Bethesda, MD 20014 An individual who requests notification of or access to a medical/dental record shall, at the time the

request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Clinicians of the Phoenix Clinical Research Section.

Systems exempted from certain provisions of the act: None.

09-25-0041

System name: Research Resources: Hormone Distribution. HEW/NIH/NIAMDD.

Security classification: None.

System location:

Westwood Bldg., Room 620, NIH
5333 Westbard Ave.
Bethesda, MD 20016

Categories of individuals covered by the system: Scientists requesting hormones from the National Institute of Arthritis, Metabolism, and Digestive Diseases.

Categories of records in the system: Justification for request for hormones, including requestor's competence.

Authority for maintenance of the system: 42 USC 241, 263, 289a, 289c.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referred to NIAMDD contractors for distribution of various hormones to requestors. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: They are stored in file folders.

Retrievability: They are retrieved by name. HEW use: Used by Hormone Distribution Officer to make a determination on request of hormones.

Safeguards: Access limited to authorized personnel (system manager and his staff).

Retention and disposal: Years at NIH: 3. Disposal methods include burning or shredding paper materials and erasing computer tapes.

System manager(s) and address:

Hormone Distribution Officer
Westwood Bldg., Rm 620
5333 Westbard Ave.
Bethesda, MD 20016

Notification procedure:

Administrative Officer
Building 31, Room 9A46, NIH
9000 Rockville Pike
Bethesda, MD 20014 An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Data is obtained from the individual.

Systems exempted from certain provisions of the act: None.

09-25-0042

System name: Clinical Research: National Institute of Dental Research Patient Records. HEW/NIH/NIDR.

Security classification: None.

System location:

Building 10, Room 1B20, NIH
9000 Rockville Pike
Bethesda, MD 20014

Categories of individuals covered by the system: NIH inpatients and other participants in current and past research projects of the National Institute of Dental Research.

Categories of records in the system: Medical and dental histories, dental pathologies and therapies.

Authority for maintenance of the system: 42 USC 241, 288a.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Clinical research data are made available to approved or collaborating researchers, including DHEW contractors and grantees. Certain infectious diseases are reported to State Government as required by law. Information may be used to respond to Congressional inquiries for constituents concerning admission to the NIH Clinical Center. Referrals may be made of assignments of research investigators and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange, (Appendix B, Department Regulations 45 CFR Part 5b, item 2). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: They are stored in file folders.

Retrievability: They are retrieved by name and hospital ID number. HEW use: Used by staff to record medical and dental diagnoses, therapies and research data and to evaluate treatment and research procedures.

Safeguards: Access limited to authorized personnel (system manager and his staff).

Retention and disposal: Years at NIH: indefinitely.

System manager(s) and address:

Chief, Clinical Dental Services Section
Building 10, Room 1B20, NIH
9000 Rockville Pike
Bethesda, MD 20014

Notification procedure:

NIDR Privacy Act Coordinator
Room 551, Westwood Bldg.
5333 Westbard Avenue
Bethesda, MD 20016 An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Individual, parents or guardians.

Systems exempted from certain provisions of the act: None.

09-25-0043

System name: Clinical Research: Pharyngeal Development. HEW/NIH/NIDR.

Security classification: None.

System location:

Building 31, Room 3B10
9000 Rockville Pike
Bethesda, MD 20014

Categories of individuals covered by the system: Patients referred to the National Institute of Dental Research who have abnormalities of the mouth and pharynx.

Categories of records in the system: Medical records.

Authority for maintenance of the system: 42 USC 241, 288a.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Clinical research data are made available to approved or collaborating researchers, including DHEW contractors and grantees. Certain infectious diseases are reported to State Government as required by law. Information may be used to respond to Congressional inquiries for constituents concerning admission to the NIH Clinical Center. Referrals may be made of assignments of research investigators and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange, (Appendix B, Department Regulations 45 CFR Part 5b, item 2). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: They are stored in file folders.

Retrievability: They are retrieved by name and diagnosis. HEW use: Used by NIDR staff to accumulate information about diseases for clinical analysis and publication in non-identifiable form. Information is shared with Clinical Center medical records and is used in preparing the Annual Report of the institute.

Safeguards: Access limited to authorized personnel (system manager and his staff).

Retention and disposal: Disposal methods include burning or shredding paper materials and erasing computer tapes. Years at NIH - 10.

System manager(s) and address:

Chief, Oral and Pharyngeal Development Section
Building 31, Room 3B10, NIH
9000 Rockville Pike
Bethesda, MD 20014

Notification procedure:

NIDR Privacy Act Coordinator
Room 551, Westwood Bldg.
5333 Westbard Avenue
Bethesda, MD 20016 An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Individual patient or family members, referring clinician or health agency.

Systems exempted from certain provisions of the act: None.

09-25-0044

System name: Clinical Research: Sensory Testing Research Program. HEW/NIH/NIDR.

Security classification: None.

System location:

Building 31, Room 3B08, NIH
9000 Rockville Pike
Bethesda, MD 20014

Categories of individuals covered by the system: Infants, children and adults participating in the Sensory Testing Program of the National Institute for Dental Research.

Categories of records in the system: Test results, extracts from medical records.

Authority for maintenance of the system: 42 USC 241, 288a.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Clinical research data are made available to approved or collaborating researchers, including DHEW contractors and grantees. Certain infectious diseases are reported to State Government as required by law. Information may be used to respond to Congressional inquiries for constituents concerning admission to the NIH Clinical Center. Referrals may be made of assignments of research investigators and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange, (Appendix B, Department Regulations 45 CFR Part 5b, item 2). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: They are stored in file folders and data books.

Retrievability: They are retrieved by name, date of observation, and age of subject. HEW use: Used by NIDR staff to accumulate information about normal and aberrant development and diseases for analysis and publication in non-identifiable form in the Annual Report of the institute.

Safeguards: Access limited to authorized personnel (system manager and his staff).

Retention and disposal: Years at NIH: Indefinitely.

System manager(s) and address:

Research Psychologist, NIDR
Building 31, Room 3B08, NIH
9000 Rockville Pike
Bethesda, MD 20014

Notification procedure:

NIDR Privacy Act Coordinator
Room 551, Westwood Bldg.
5333 Westbard Avenue
Bethesda, MD 20016 An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Write to the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Cooperating Clinician or Health Agency, family member.

Systems exempted from certain provisions of the act: None.

09-25-0046

System name: Clinical Research: Catalog of Clinical Specimens. HEW/NIH/NIAID.

Security classification: None.

System location:

Building 7, Room 301 and Room 202, NIH
9000 Rockville Pike
Bethesda, MD 20014

Categories of individuals covered by the system: Patients, volunteers, laboratory personnel in the National Institute of Allergy and Infectious Diseases.

Categories of records in the system: Clinical specimens, attendant data and laboratory results.

Authority for maintenance of the system: 42 USC 241, 289a, 289c.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Clinical research data are made available to approved or collaborating researchers, including DHEW contractors and grantees. Certain infectious diseases are reported to State Government as required by law. Information may be used to respond to Congressional inquiries for constituents concerning admission to the NIH Clinical Center. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: They are stored in data books.

Retrievability: They are retrieved by name, patient or study number. HEW uses: Used for diagnostic and epidemiologic studies. HEW users: scientific staff of the institute.

Safeguards: Access limited to authorized personnel (system manager and his staff).

Retention and disposal: Years at NIH: indefinitely.

System manager(s) and address:

Chief, Respiratory Viruses Section
Building 7, Room 301, NIH
9000 Rockville Pike
Bethesda, MD 20014

Chief, Hepatitus Virus Section
Building 7, Room 202, NIH
9000 Rockville Pike
Bethesda, MD 20014

Notification procedure: Write to System Manager. An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Write to official named below. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Chief, ORR and PR, NIAID
Building 31, Room 7A32, NIH
9000 Rockville Pike
Bethesda, MD 20014

Contesting record procedures: Contact the official at the address specified under access procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Hospital records, field study records and records from collaborating scientists.

Systems exempted from certain provisions of the act: None.

09-25-0047

System name: Clinical Research: Cooperative Smallpox Vaccine Study. HEW/NIH/NIAID.

Security classification: None.

System location:

Building 10, Room 11N118, NIH
9000 Rockville Pike
Bethesda, MD 20014

Categories of individuals covered by the system: Recipients of smallpox vaccines in Cooperative Study of the National Institute of Allergy and Infectious Diseases.

Categories of records in the system: Medical records concerning reactions to smallpox vaccine.

Authority for maintenance of the system: 42 USC 241, 289a, 289c.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Clinical research data are made available to researchers of the 4 collaborating institutions. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. To individuals and organizations deemed qualified by the Secretary to carry out specific research solely for the purpose of carrying out such research. (Appendix B, Department Regulations, 45 CFR Part 5b, item 101). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: They are stored on magnetic tape and on punch cards.

Retrievability: They are retrieved by I.D. number. HEW uses: Information from 4 institutions is compiled and statistical analyses are made of these data for publication in scientific literature in non-identifiable form. HEW users: Professional staff of the Branch and cooperating scientists in the Intramural Program.

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

Retention and disposal: Years at NIH: indefinitely.

System manager(s) and address:

Chief, Development and Applications Branch
Westwood Bldg., Rm. 750
5333 Westbard Ave.
Bethesda, MD 20014

Notification procedure: Write to System Manager. An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Write to official named below. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Chief, ORR and PR, NIAID
Building 31, Room 7A32, NIH
9000 Rockville Pike
Bethesda, MD 20014

Contesting record procedures: Contact the official at the address specified under access procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Research investigators.

Systems exempted from certain provisions of the act: None.

09-25-0048

System name: Clinical Research: Serology-Epidemiology Parasite Research. NEW/NIH/NIAID.

Security classification: None.

System location:

Rocky Mountain Laboratory, NIH
Hamilton, MT 59840

Categories of individuals covered by the system: Blood or parasite donors participating in serology-epidemiology parasite research of the National Institute of Allergy and Infectious Diseases.

Categories of records in the system: Results of blood tests and possible case histories.

Authority for maintenance of the system: 42 USC 241, 289a, 289c.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Clinical research data are made available to approved or collaborating researchers, including DHEW contractors and grantees. Certain infectious diseases are reported to State Government as required by law. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. To individuals and organizations deemed qualified by the Secretary to carry out specific research solely for the purpose of carrying out such research (Appendix B, Department Regulations 45 CFR Part 5b, item 101). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: They are stored in file folders.

Retrievability: They are retrieved by name. HEW uses: Used for epidemiological studies. HEW users: scientific staff of the laboratory.

Safeguards: Access limited to authorized personnel (system manager and his staff).

Retention and disposal: Years at NIH: indefinitely.

System manager(s) and address:

Administrative Officer
Rocky Mountain Laboratory, NIH
Hamilton, MT 59840

Notification procedure: Write to System Manager. An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requestors should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Personal physician of donor & State Health Departments.

Systems exempted from certain provisions of the act: None.

09-25-0049

System name: Clinical Research: Atlanta Federal Prison Malaria Research Projects. HEW/NIH/NIAID.

Security classification: None.

System location:

Building 8, Room 326, NIH
9000 Rockville Pike
Bethesda, MD 20014

Categories of individuals covered by the system: Prisoners in Atlanta Federal Prison who have volunteered to participate in malaria research studies of the National Institute of Allergy and Infectious Diseases.

Categories of records in the system: Medical history records.

Authority for maintenance of the system: 42 USC 241, 289a, 289c.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Certain infectious diseases are reported to State Government as required by law. Clinical research data are made available to individuals and organizations, deemed qualified by the Secretary to carry out specific research solely for the purpose of carrying out such research. (Appendix B, HEW Regulations, 45 CFR, Part 5b, item 101). Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: They are stored in file folders.

Retrievability: They are retrieved by name. HEW uses: Used for malaria research studies. HEW users: scientific staff of the laboratory.

Safeguards: Access limited to authorized personnel (system manager and his staff).

Retention and disposal: Years at NIH: indefinitely.

System manager(s) and address:

Head, Malaria Section, NIAID
Building 8, Room 326, NIH
9000 Rockville Pike
Bethesda, MD 20014

Notification procedure: Write to System Manager. An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Write to official named below. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Chief, ORR and PR, NIAID
Building 31, Room 7A32, NIH
9000 Rockville Pike
Bethesda, MD 20014

Contesting record procedures: Contact the official under access procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Individuals, Hospital records, referring physicians, collaborating scientists.

Systems exempted from certain provisions of the act: None.

09-25-0050

System name: Trainees Record System. HEW/NIH/NIAID

Security classification: None.

System location:

Westwood Building, Room 735, NIH
5333 Westbard Avenue
Bethesda, MD 20016

Categories of individuals covered by the system: Trainees under Training Grants of the National Institute of Allergy and Infectious Diseases.

Categories of records in the system: Name of trainee, grant no., amount of support, Sci. Discipline Code, level of degree, date of training.

Authority for maintenance of the system: 42 USC 2891-1; 58 Stat. 691d Repealed; 64 Stat. 44.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: They are stored in card files and on computer tapes.

Retrievability: They are retrieved by name. HEW uses: Used for reports on trainees. HEW users: branch staff.

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

Retention and disposal: Years at NIH: indefinitely.

System manager(s) and address:

Head, Data Control Section
Westwood Building, Room 733, NIH
5333 Westbard Avenue
Bethesda, MD 20016

Notification procedure: Write to System Manager.

Record access procedures: Write to official named below. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Chief, ORR and PR, NIAID
Building 31, Room 7A32, NIH
9000 Rockville Pike
Bethesda, MD 20014

Contesting record procedures: Contact the official at the address specified under access procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Report of appointment of trainee.

Systems exempted from certain provisions of the act: None.

09-25-0051

System name: Grants: NIH Fellowship Payroll. HEW/NIH/DFM.

Security classification: None.

System location:

Building 31, Room B1B07, NIH
9000 Rockville Pike
Bethesda, MD 20014
and Regional Federal Records Center

Categories of individuals covered by the system: Recipients of NIH fellowships.

Categories of records in the system: Recipient's name, address and social security number.

Authority for maintenance of the system: 58 Stat. 691c Repealed; 42 USC 2891-1.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used to report income subject to tax and taxes withheld to Internal Revenue Service. The Internal Revenue Service requires the social security number to verify individual identity. Where federal agencies having the power to subpoena other federal agencies' records, such as the Internal Revenue Service or the Civil Rights Commission, issue a subpoena to the Department for records in this system of records, the Department will make such records available. (Appendix B, HEW Regulations, 45 CFR Part 5b, item 6). Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: They are stored in file folders in file cabinets.

Retrievability: They are retrieved by name. HEW use: Used by NIH staff to process fellowships stipend check to fellow each month for preparing record of taxes withheld and stipends paid to individuals.

Safeguards: The records are maintained in file cabinets with access limited to authorized personnel. Offices are locked during other than normal duty hours.

Retention and disposal: Years at NIH: 1. Years at Federal Records Center: 9.

System manager(s) and address:

Chief, Federal Assistance Accounting Bch, DFM
Building 31, Room B1B07, NIH

9000 Rockville Pike
Bethesda, MD 20014

Notification procedure: Write to System Manager.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Notice of Fellowship Award and individual fellow.

Systems exempted from certain provisions of the act: None.

09-25-0053

System name: Clinical Research: Vision Studies. HEW/NIH/NEI.

Security classification: None.

System location:

Building 10, Room 10N325, NIH
9000 Rockville Pike
Bethesda, MD 20014

Categories of individuals covered by the system: Patients of Intramural Research Clinical Studies, National Eye Institute.

Categories of records in the system: Medical history as relevant to vision research.

Authority for maintenance of the system: 42 USC 241, 289i, 289k.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Clinical research data are made available to approved or collaborating researchers, including DHEW contractors and grantees. Information may be used to respond to Congressional inquiries for constituents concerning admission to the NIH Clinical Center. Certain infectious diseases may be reported to State Government as required by law. Referrals may be made of assignments of research investigators and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange (Appendix B, Department Regulations 45 CFR Part 5b, Item 2). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: They are stored in file cabinets.

Retrievability: They are retrieved by name and cross referenced by anatomical entity. HEW use: Used by NEI staff to conduct and evaluate visual research projects.

Safeguards: Access limited to authorized personnel (system manager and his staff).

Retention and disposal: Years at NIH: indefinitely.

System manager(s) and address:

Clinical Director
Building 10, Room 10N313, NIH
9000 Rockville Pike
Bethesda, MD 20014

Notification procedure:

Executive Officer
Building 31, Room 6A05, NIH
9000 Rockville Pike
Bethesda, MD 20014
An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Medical examinations conducted by and under the direction of the research investigators.

Systems exempted from certain provisions of the act: None.

09-25-0054

System name: Administration: Property Accounting. HEW/NIH/DES.

Security classification: None.

System location:

Building 12A, Room 4018, NIH
9000 Rockville Pike
Bethesda, MD 20014

Categories of individuals covered by the system: Employees of the National Institutes of Health who are issued tools, uniforms, and safety shoes.

Categories of records in the system: Property management.

Authority for maintenance of the system: 5 USC 5901; 5 USC 7903; 42 USC 241.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto. (Appendix B, Departmental Regulations (45 CFR Part 5b) Item 1.). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: They are stored in file folders.

Retrievability: They are retrieved by name. HEW uses: Used for tool, uniform and safety shoe issuance and control.

Safeguards: Access limited to authorized personnel (system manager and his staff).

Retention and disposal: Years at NIH: indefinitely.

System manager(s) and address:

Administrative Officer, DES
Building 12A, Room 4018, NIH
9000 Rockville Pike
Bethesda, MD 20014

Notification procedure: Write to System Manager.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents

being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Write to the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Data is obtained from the individual.

Systems exempted from certain provisions of the act: None.

09-25-0055

System name: Clinical Research: Baltimore Cancer Research Center Patients. HEW/NIH/NCI.

Security classification: None.

System location:

Baltimore Cancer Research Center
22 South Greenstreet
Baltimore, MD 21202

Categories of individuals covered by the system: Cancer patients treated at the Baltimore Md. Cancer Research Center.

Categories of records in the system: Medical records.

Authority for maintenance of the system: 42 USC 241, 281, 282.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Clinical research data are made available to approved or collaborating researchers, including DHEW contractors and grantees. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Disclosure may be made to a contractor when the Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records. (Appendix B, Department Regulations, (45 CFR Part 5b), item 9). Disclosure may be made to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: They are stored in file folders.

Retrievability: They are retrieved by patient number. HEW uses: Research by staff to determine survival rates based on modes of treatment.

Safeguards: Access limited to authorized personnel (system manager and his staff).

Retention and disposal: Years at NIH: indefinitely.

System manager(s) and address:

Associate Director for Baltimore Can. Res. Cent.
Baltimore Cancer Res. Center
22 South Greenstreet
Baltimore, MD 21202

Notification procedure: Write to System Manager. An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Research Contractors of Brain Tumor Study Group.

Systems exempted from certain provisions of the act: None.

09-25-0057

System name: Clinical Research: Burkitt's Lymphoma Registry. HEW/NIH/NCI.

Security classification: None.

System location:

Building 37, Room 1B28
9000 Rockville Pike
Bethesda, MD 20014

Categories of individuals covered by the system: Patients with Burkitt's Lymphoma in the registry of the National Cancer Institute.

Categories of records in the system: Clinical abstracts, pathology reports, and other laboratory correspondence with attending physicians.

Authority for maintenance of the system: 42 USC 241, 281, 282.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Clinical research data are made available to approved or collaborating researchers, including DHEW contractors and grantees. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Disclosure may be made to a contractor when the Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records. (Appendix B, Department Regulations, (45 CFR Part 5b), item 9). Disclosure may be made to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: They are stored in file folders.

Retrievability: They are retrieved by name. HEW uses: Epidemiologic research by research staff.

Safeguards: Access limited to authorized personnel.

Retention and disposal: Years at NIH: indefinitely.

System manager(s) and address:

Head, Clinical Studies Section
Medical Officer, Laboratory of Viral Carcinogenesis
Building 37, Room 1B28
9000 Rockville Pike
Bethesda, MD 20014

Notification procedure: Write to System Manager. An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's

discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Hospitals, Pathology Reports, Medical Histories.

Systems exempted from certain provisions of the act: None.

09-25-0060

System name: Clinical Research: DCT Clinical Investigations. HEW/NIH/NCI.

Security classification: None.

System location: Building 10, Room 3B18, NIH
9000 Rockville Pike
Bethesda, MD 20014
Regional Federal Record Center

Categories of individuals covered by the system: All patients who have been hospitalized in the National Cancer Institute.

Categories of records in the system: Medical records.

Authority for maintenance of the system: 42 USC 241, 281, 282.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Clinical research data are made available to approved or collaborating researchers, including DHEW contractors and grantees. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Disclosure may be made to a contractor when the Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records. (Appendix B, Department Regulations, (45 CFR Part 5b), item 9). Disclosure may be made to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: They are stored on magnetic tapes and on index cards.

Retrievability: They are retrieved by patient name. HEW uses: Patient care and treatment and epidemiological research.

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

Retention and disposal: Years at NIH: 12
Years at Federal Records Center: indefinitely.

System manager(s) and address:
Head, Biostatistics
Building 10, Room 3B16
9000 Rockville Pike
Bethesda, MD 20014

Notification procedure: Write to System Manager. An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Hospital medical records, referring physician, referring hospitals, patient contact, Central Tumor Registries.

Systems exempted from certain provisions of the act: None.

09-25-0064

System name: Clinical Research: Japan Hawaii Cancer Studies. HEW/NIH/NCI.

Security classification: None.

System location:
Building 12, NIH
9000 Rockville Pike
Bethesda, MD 20014

Categories of individuals covered by the system: Hawaiians of Japanese descent who were/are patients and controls diagnosed with cancer of certain sites or with gastric ulcers.

Categories of records in the system: Medical, diet, residence & occupational history; clinical lab test results.

Authority for maintenance of the system: 42 USC 241, 281, 282.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Clinical research data are made available to approved or collaborating researchers, including DHEW contractors and grantees. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Disclosure may be made to a contractor when the Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records. (Appendix B, Department Regulations, (45 CFR Part 5b), item 9). Disclosure may be made to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: They are stored on magnetic tape and microfiche and in file folders and on slides.

Retrievability: They are retrieved by name or ID number. HEW uses: Research into the causes of cancer, including precursor conditions and factors affecting the etiology and epidemiology of the disease.

Safeguards: Access limited to authorized personnel (system manager and his staff).

Retention and disposal: Years at NIH: indefinitely.

System manager(s) and address:

Chief, Biometry Branch
Landow Building, Room C503, NIH
7910 Woodmont Avenue
Bethesda, MD 20014

Notification procedure: Write to System Manager. An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information obtained from interview with cancer patients or their relatives, hospitalized controls, community and hospital records.

Systems exempted from certain provisions of the act: None.

09-25-0067

System name: Clinical Research: National Cancer Incidence Surveys. HEW/NIH/NCI.

Security classification: None.

System location:

Building 12, NIH
9000 Rockville Pike
Bethesda, MD 20014

Categories of individuals covered by the system: Persons diagnosed as having cancer during 1969-71 in geographical areas of the US.

Categories of records in the system: Medical history, insurance and hospital cost data, and death records.

Authority for maintenance of the system: 42 USC 241, 281, 182.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Clinical research data are made available to approved or collaborating researchers, including DHEW contractors and grantees. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Disclosure may be made to a contractor when the Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records. (Appendix B, Department Regulations, (45 CFR Part 5b), item 9). Disclosure may be made to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: They are stored in file folders and on magnetic tapes.

Retrievability: They are retrieved by name and study number. HEW uses: Comparison of trends in cancer incidence between the second and third national cancer surveys, i.e. between 1969-71.

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

Retention and disposal: Years at NIH: indefinitely.

System manager(s) and address:

Head, Demography Section
Landow Building, Room B506, NIH
7910 Woodmont Avenue
Bethesda, MD 20014

Notification procedure: Write to System Manager. An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Hospital medical records, death certificates.

Systems exempted from certain provisions of the act: None.

09-25-0068

System name: Clinical Research: National Cancer Institute/American Cancer Society National Breast Cancer Screening of Antihypertensives. HEW/NIH/NCI.

Security classification: None.

System location:

Landow Building, Room B506, NIH
7910 Woodmont Avenue
Bethesda, MD 20014
and Regional Federal Records Center

Categories of individuals covered by the system: Women screened for breast cancer by the National Cancer Institute/American Cancer Society-sponsored screening centers.

Categories of records in the system: Medical history questionnaires from all individuals; treatment questionnaires from physicians of individuals on antihypertensives.

Authority for maintenance of the system: 42 USC 241, 281, 282.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Clinical research data are made available to approved or collaborating researchers, including DHEW contractors and grantees. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Disclosure may be made to a contractor when the Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records. (Appendix B, Department Regulations, (45 CFR Part 5b), item 9). Disclosure may be made to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the

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

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

Storage: They are stored in file folders, on computer printouts and tapes.

Retrievability: They are retrieved by patient name and number. HEW uses: Epidemiological research to study factors possibly related to breast cancer. Involves collaboration of National Heart, Lung, and Blood Institute and the Food and Drug Administration.

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

Retention and disposal: Years at NIH: 5. Years at Federal Records Center: 10.

System manager(s) and address:

Head, Demography Section
Landow Building, Room B506, NIH
7910 Woodmont Avenue
Bethesda, MD 20014

Notification procedure: Write to System Manager. An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Data is obtained from the individual, and if applicable, from the individual's physician with her permission.

Systems exempted from certain provisions of the act: None.

09-25-0069

System name: NIH Clinical Center Admissions of the NCI: HEW/NIH/NCI.

Security classification: None.

System location: Appendix I.

Landow Building, Rm. C533,NIH,DCCP
7910 Woodmont Avenue
Bethesda, MD 20014

Building 10, Rm 3B04,NIH,DCT
9000 Rockville Pike
Bethesda, MD 20014

Building 31, Room 3A05, NIH
9000 Rockville Pike
Bethesda, MD 20014

Categories of individuals covered by the system: Current and former cancer patients admitted to the NIH Clinical Center.

Categories of records in the system: Medical histories, reports and correspondence.

Authority for maintenance of the system: 42 USC 241, 281, 282.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Clinical research data are made available to approved or collaborating researchers, including DHEW contractors and grantees. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Disclosure may be made to a contractor when the Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records. (Appendix B, Department Regulations, (45 CFR Part 5b), item 9). Disclosure may be made to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: They are stored in file folders.

Retrievability: They are retrieved by name. HEW uses: National Cancer Institute physicians and supporting staff are involved in the diagnosis of disease and the treatment of patients, requiring the maintenance of working files to chart progress, responses to treatment, etc.

Safeguards: Access limited to authorized personnel (system manager and his staff).

Retention and disposal: Years at NIH: indefinitely.

System manager(s) and address: Appendix II

Head, Clinical Genetics Sec. DCCP
Landow Bldg., Rm. A521, NIH
7910 Woodmont Avenue
Bethesda, Maryland 20014

Head, Biostatistics, DCT
Building 10, Room 3B16
9000 Rockville Pike
Bethesda, MD 20014

Administrative Officer, DCBD
Building 31, Room 3A05, NIH
9000 Rockville Pike
Bethesda, MD 20014

Notification procedure: Write to system manager An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Patients' personal physicians, NIH staff treating the patients or performing tests, and patients themselves.

Systems exempted from certain provisions of the act: None.

09-25-0074

System name: Clinical Research: Veterans Administration Bladder & Prostate Cancer Clinical Trials. HEW/NIH/NCI.

Security classification: None.

System location:

Building 12, NIH
9000 Rockville Pike
Bethesda, MD 20014

Categories of individuals covered by the system: Veterans Administration patients with bladder or prostate cancer.

Categories of records in the system: Medical & treatment history.

Authority for maintenance of the system: 42 USC 241, 281, 282.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Clinical research data are made available to approved or collaborating researchers, including DHEW contractors and grantees. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Disclosure may be made to a contractor when the Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records. (Appendix B, Department Regulations, (45 CFR Part 5b), item 9). Disclosure may be made to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: They are stored in files and on computer tapes and discs.

Retrievability: They are retrieved by name. HEW uses: Research by staff comparing treatments of bladder and prostate cancer, developing statistical methodology, and tracing the natural history of disease.

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

Retention and disposal: Years at NIH: indefinitely.

System manager(s) and address:

Computer Systems Manager
Landow Building, Room C504, NIH
7910 Woodmont Avenue
Bethesda, MD 20014

Notification procedure: Write to System Manager. An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Hospitals.

Systems exempted from certain provisions of the act: None.

09-25-0075

System name: Administration: Principal Investigators Protection from Research Risks. HEW/NIH/OD.

Security classification: None.

System location:

Westwood Building, Room 303
5333 Westbard Avenue
Bethesda, MD 20014

Categories of individuals covered by the system: Persons submitting research proposals to the National Institutes of Health involving hazards to subjects or ethical problems.

Categories of records in the system: Research protocol, identification of Principal Investigator, institution.

Authority for maintenance of the system: 42 USC 241(c) (g).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto. (Appendix B, Departmental Regulations (45 CFR Part 5b) Item 1.). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: They are stored on card file.

Retrievability: They are retrieved by name of Principal Investigator. HEW use: Used to retrieve project files for monitoring of research proposals that may involve undue hazards to subjects or ethical considerations.

Safeguards: Access limited to authorized personnel (system manager and his staff).

Retention and disposal: Years at NIH: indefinitely.

System manager(s) and address:

Director, OPRR
Westwood Building, Room 303, NIH
5333 Westbard Avenue
Bethesda, MD 20014

Notification procedure: Write to System Manager.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Proposals submitted by individuals, but identified by employees or consultants of DHEW as possibly involving undue hazards.

Systems exempted from certain provisions of the act: None.

09-25-0077

System name: Research Resources: Viral Oncology Human Specimen Program. HEW/NIH/NCI.

Security classification: None.

System location:

Landow Bldg., Rm. C-309
7910 Woodmont Avenue
Bethesda, MD 20014

Categories of individuals covered by the system: Cancer and other patients, and normal donors seen at clinically-oriented organizations that receive procurement contracts from the National Cancer Institute to supply for research purposes by-product material such as biopsy and tumor specimens that would normally be discarded.

Categories of records in the system: Medical history and diagnostic information about the donor, information on the type of specimen, location of repository (if specimen is stored before use), and distribution record.

Authority for maintenance of the system: 42 USC 241, 281, 282.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: File folders, magnetic tape, discs.

Retrievability: Retrieved by name of donor and cross-referenced by identifying number, procurement source, and various epidemiological characteristics. HEW Use: Used for cancer research to allow interpretation of experimental results, to project future research needs, to monitor and evaluate contractor procurement performance, and to monitor and evaluate the NCI distribution system to laboratory researchers.

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

Retention and disposal: Years at NIH: indefinitely.

System manager(s) and address:

Chief, Office of Program Resources & Logistics
Building 37, Room 1A19
National Institutes of Health
9000 Rockville Pike
Bethesda, MD 20014

Notification procedure: Write to System Manager. An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Specimen Report Form filled out by the organization providing specimens.

Systems exempted from certain provisions of the act: None.

09-25-0078

System name: Advisory Groups: Consultant File. HEW/NIH/NHLBI.

Security classification: None.

System location:

Westwood Building
5333 Westbard Avenue
Bethesda, MD 20016

Categories of individuals covered by the system: List of consultants available for use in evaluation of NHLBI special grants and contracts.

Categories of records in the system: Names, resumes, lists of publications.

Authority for maintenance of the system: 42 U.S.C. 241(d), 281.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Computer disk and file folders.

Retrievability: HEW uses: Selection and referral of experts and consultants for National Heart, Lung, and Blood Institute program reviews and evaluations.

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

Retention and disposal: Held at NIH indefinitely.

System manager(s) and address:

Systems Analyst, DEA, NHLBI
Westwood Building, Room 5A-15
5333 Westbard Avenue
Bethesda, MD 20016

Notification procedure:

Privacy Act Coordinator, NHLBI
Building 31, Room 5A-50, NIH
9000 Rockville Pike
Bethesda, MD 20014

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Subject individual.

Systems exempted from certain provisions of the act: None.

09-25-0084

System name: Biographies: Curricula Vitae. HEW/NIH/NIAMDD

Security classification: None.

System location:

Building 31, Room 9A35, NIH
9000 Rockville Pike
Bethesda, MD 20014

Categories of individuals covered by the system: Consultants, scientists, advisory boards, and commission members.

Categories of records in the system: Employment, education, personal and achievement histories.

Authority for maintenance of the system: 42 USC 241(d) 289a.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Stored in file folders.

Retrievability: Retrieved by name. HEW use: NIAMDD staff for releases, award citations, personnel actions, presentation of papers, source of information to inquiries, and promotion reviews.

Safeguards: Access limited to authorized personnel (system manager and his staff).

Retention and disposal: Years at NIH: 5. Disposal methods include burning or shredding paper materials and erasing computer tapes.

System manager(s) and address:

Administrative Officer, NIAMDD
Building 31, Room 9A24, NIH
9000 Rockville Pike
Bethesda, MD 20014

Notification procedure: Write to System Manager.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Individuals.

Systems exempted from certain provisions of the act: None.

09-25-0087

System name: Biographies: Employees and Consultants. HEW/NIH/NIAID.

Security classification: None.

System location:

Building 31, Room 7A32, NIH
9000 Rockville Pike
Bethesda, MD 20014

Categories of individuals covered by the system: Current and former key professional employees of the Institute and consultants.

Categories of records in the system: Press releases, curriculum vitae, nominations for awards and photographs.

Authority for maintenance of the system: 42 USC 241(d) 289a.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Stored in file folders.

Retrievability: Retrieved by name. HEW uses: For background records to provides drafts of public announcements. HEW users: staff of the office.

Safeguards: Access limited to authorized personnel (system manager and his staff).

Retention and disposal: Years at NIH: indefinitely.

System manager(s) and address:

Chief, Of. of Research Reporting & Public Response
Building 31, Room 7A32, NIH
9000 Rockville Pike
Bethesda, MD 20014

Notification procedure: Write to System Manager.

Record access procedures: Write to official named below. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Individuals and newspaper clippings.

Systems exempted from certain provisions of the act: None.

09-25-0088

System name: Research Resources: H-2 Soluble Antigen and H-2 Antiserum. HEW/NIH/NIAID.

Security classification: None.

System location:

Westwood Building, Room 7A03
5333 Westbard Avenue
Bethesda, Maryland 20016

Categories of individuals covered by the system: Scientific investigators concerned with histocompatibility typing who have applied for research materials.

Categories of records in the system: Applications for Research Materials.

Authority for maintenance of the system: 42 USC 241, 263, 289a, 289c.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Data regarding scientific investigators may be published in reagents catalogue and may be used to respond to public inquiries. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Stored in file folders.

Retrievability: Retrieved by name. HEW uses: Used to keep records of active investigators using the reagents and as a means of controlling scarce reagents. HEW users: branch staff.

Safeguards: Access limited to authorized personnel (system manager and his staff).

Retention and disposal: Years at NIH: indefinitely.

System manager(s) and address:

Chief, Research Resources Branch
Westwood Building, Room 7A03
5333 Westbard Avenue
Bethesda, MD 20016

Notification procedure: Write to System Manager.

Record access procedures: Write to official named below. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Chief, ORR and PR, NIAID
Building 31, Room 7A32, NIH
9000 Rockville Pike
Bethesda, MD 20014

Contesting record procedures: Contact the official at the address specified under access procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Individuals.

Systems exempted from certain provisions of the act: None.

09-25-0089

System name: Research Resources: HL-A Antiserum and Tray Users. HEW/NIH/NIAID.

Security classification: None.

System location:

Westwood Building, Room 7A03
5333 Westbard Avenue
Bethesda, MD 20016

Categories of individuals covered by the system: Scientific and clinical investigators concerned with histocompatibility typing

Categories of records in the system: Applications for Research Materials.

Authority for maintenance of the system: 42 USC 241, 263, 289a, 289c

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Data regarding investigators may be published in reagents catalogue and may be used to respond to public inquiries. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Stored in file folders and on computer tapes.

Retrievability: Retrieved by name. HEW use: Used by NIAID staff as a record of active investigators using the research materials and as a means of controlling the scarce reagents.

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

Retention and disposal: Years at NIH: indefinitely.

System manager(s) and address:

Chief, Research Resources Branch
Westwood Building, Room 7A03
5333 Westbard Avenue
Bethesda, MD 20016

Notification procedure: Write to System Manager.

Record access procedures: Write to official named below. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Chief, ORR and PR, NIAID
Building 31, Room 7A32, NIH
9000 Rockville Pike
Bethesda, MD 20014

Contesting record procedures: Contact the official at the address specified under access procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Individuals.

Systems exempted from certain provisions of the act: None.

09-25-0091

System name: Administration: General Files. HEW/NIH/NEI.

Security classification: None.

System location:

Building 31, Room 6A03, NIH
9000 Rockville Pike
Bethesda, MD 20014

Categories of individuals covered by the system: Donors of gifts, employees, correspondents of the National Eye Institute.

Categories of records in the system: Budget, Administrative Services, correspondence.

Authority for maintenance of the system: 42 USC 289i.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Stored in file folders.

Retrievability: Retrieved by name and subject area. HEW use: In the day-to-day administrative operations of the institute. (Contain records of gifts, travel, various permits, procurement, property, employee suggestions and awards, manpower studies, letters of request for service or information, mailing lists for distribution of institute information to interested outside community.)

Safeguards: Access limited to authorized personnel (system manager and his staff).

Retention and disposal: Years at NIH: 1. Disposal methods include burning or shredding paper materials and erasing computer tapes.

System manager(s) and address:

Executive Officer, NEI
Building 31, Room 6A05, NIH
9000 Rockville Pike
Bethesda, MD 20014

Notification procedure:

Records Management Officer
Building 31, Room 6A31, NIH
9000 Rockville Pike
Bethesda, MD 20014

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Individuals.

Systems exempted from certain provisions of the act: None.

09-25-0093

System name: Administration: Journal of the National Cancer Institute. HEW/NIH/NCI.

Security classification: None.

System location:

Blair Building, Room 2A01
8300 Colesville Road
Silver Spring, MD 20910

Categories of individuals covered by the system: Authors and manuscript reviewers and members of the JNCI editorial board.

Categories of records in the system: Accepted, rejected and pending manuscripts and reviewing comments.

Authority for maintenance of the system: 42 USC 241, 281

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Disclosure may be made to qualified experts for opinions as a part of the review of manuscripts In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Stored in file folders.

Retrievability: Retrieved by name and manuscript number. HEW Use: Manuscript review by NCI staff for possible publication or oral presentations.

Safeguards: Access limited to authorized personnel (system manager and his staff).

Retention and disposal: Years at NIH: 1. Disposal methods include burning or shredding paper materials and erasing computer tapes.

System manager(s) and address:

Managing Editor
Blair Building Room 2A01
8300 Colesville Road
Silver Spring, MD 20910

Notification procedure: Write to System Manager.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Authors and reviewers.

Systems exempted from certain provisions of the act: None.

09-25-0095

System name: Contracts: Carcinogenesis Contracts & Intramural Projects. HEW/NIH/NCI.

Security classification: None.

System location:

Building 12, NIH
9000 Rockville Pike
Bethesda, MD 20014

Categories of individuals covered by the system: Principal investigators, project officers, and contract specialists.

Categories of records in the system: Projects titles and descriptors and cost data.

Authority for maintenance of the system: 42 U.S.C. 241(g), 281.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Disclosure may be made to a contractor when the Department contracts with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records. (Appendix B, Department Regulations, (45 CFR Part 5b), item 9). Disclosure may be made to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Stored on magnetic tape.

Retrievability: Retrieved by name. HEW use: Used by staff for general administrative purposes in compliance with program requirements.

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

Retention and disposal: Years at NIH: indefinitely.

System manager(s) and address:

Coordinator, Information Activities
Landow Building, Room C216
7910 Woodmont Avenue
Bethesda, MD 20014

Notification procedure: Write to System Manager.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Contracts, proposals and annual reports.

Systems exempted from certain provisions of the act: None.

09-25-0096

System name: Contracts: Contract Management System. HEW/NIH/NCI.

Security classification: None.

System location:

Building 12, NIH
9000 Rockville Pike
Bethesda, MD 20014

Categories of individuals covered by the system: Principal investigators, project officers, and contract specialists.

Categories of records in the system: Project titles and descriptions and cost data.

Authority for maintenance of the system: 42 U.S.C. 241(g), 281.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in

response to an inquiry from the congressional office made at the request of that individual. Disclosure may be made to a contractor when the Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records. (Appendix B, Department Regulations, (45 CFR Part 5b), item 9). Disclosure may be made to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Stored on magnetic tapes and on-line discs.

Retrievability: Retrieved by name. HEW uses: Used by staff for general administrative purposes in compliance with program requirements.

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

Retention and disposal: Years at NIH: 10. Disposal methods include burning or shredding paper materials and erasing computer tapes.

System manager(s) and address:

Supervisory Systems Analyst
Blair Building, Room 1A-07
8300 Colesville Road
Silver Spring, MD 20910

Notification procedure: Write to System Manager.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Negotiated Contract and NIH 1688 Form - Project Objective and Progress Report.

Systems exempted from certain provisions of the act: None.

09-25-0097

System name: Contracts: Division of Cancer Control and Rehabilitation. HEW/NIH/NCI.

Security classification: None.

System location:

Building 12, NIH
9000 Rockville Pike
Bethesda, MD 20014

Categories of individuals covered by the system: Principal investigators, project officers, and contract specialists.

Categories of records in the system: Project titles and descriptions and cost data.

Authority for maintenance of the system: 42 U.S.C. 241(g), 281.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Disclosure may be made to a contractor when the Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records. (Appendix B, Department Regulations, (45 CFR Part 5b), item 9). Disclosure may be made to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Stored on magnetic tapes.

Retrievability: Retrieved by name. HEW uses: Used by staff for general administrative purposes in compliance with program requirements.

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

Retention and disposal: Years at NIH: 2. Disposal methods include burning or shredding paper materials and erasing computer tapes.

System manager(s) and address:

Administrative Officer, DCCR
Blair Building, Room 730
8300 Colesville Road
Silver Spring, MD 20910

Notification procedure: Write to System Manager.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Contracts, proposals and annual reports.

Systems exempted from certain provisions of the act: None.

09-25-0098

System name: Contracts: Viral Oncology Contracts. HEW/NIH/NCI.

Security classification: None.

System location:

Building 12, NIH
9000 Rockville Pike
Bethesda, MD 20014

Categories of individuals covered by the system: Principal investigators, project officers, and contract specialists.

Categories of records in the system: Project titles and descriptions and cost data.

Authority for maintenance of the system: 42 U.S.C. 241(g), 281.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in

response to an inquiry from the congressional office made at the request of that individual. Disclosure may be made to a contractor when the Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records. (Appendix B, Department Regulations, (45 CFR Part 5b), item 9). Disclosure may be made to the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Stored on computer file and tapes.

Retrievability: Retrieved by name. HEW uses: Used by staff for general administrative purposes in compliance with program requirements.

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

Retention and disposal: Years at NIH: 5. Disposal methods include burning or shredding paper materials and erasing computer tapes.

System manager(s) and address:

Head, Editorial Unit
Landow Bldg. Rm. A-913
9000 Rockville Pike
Bethesda, MD 20014

Notification procedure: Write to System Manager.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Contracts, proposals, and annual reports.

Systems exempted from certain provisions of the act: None.

09-25-0099

System name: Clinical Research: Patient Medical Records. HEW/NIH/CC.

Security classification: None.

System location:

Building 10, Room 1N116
9000 Rockville Pike
Bethesda, MD 20014

Categories of individuals covered by the system: Registered Clinical Center patients. Some individuals not registered as patients but seen in Clinical Center for diagnostic tests.

Categories of records in the system: Medical treatment records.

Authority for maintenance of the system: 42 USC 241, 248.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Clinical research data are made available to approved or collaborating researchers, including DHEW contractors and grantees. Certain infectious diseases are reported to State Government as required by law. Information may be used to respond to Congressional inquiries for constituents concerning admission to NIH Clinical Center. Referrals may be made of assignments of research investigators and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange, (Appendix B, Department Regulations 45 CFR Part 5b, item 2). Social work department gives pertinent information to community agencies. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: They are stored in file folders and computer tapes.

Retrievability: They are retrieved by unit number. HEW use: To provide medical care and treatment. To conduct bio-medical research. HEW users are physicians, nurses, and other health-care personnel; DHEW scientists conducting research; students, mainly medical and nursing, assigned to NIH for training. Diagnostic Departments (X-ray), Pathology, etc.) have some records of non-registered patients, referred for testing.

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

Retention and disposal: Years at NIH: indefinitely.

System manager(s) and address:

Chief, Medical Record Department
Building 10, Room 1N116
9000 Rockville Pike
Bethesda, Md. 20014

Notification procedure:

Director, Clinical Center
Building 10, Room 1N212
9000 Rockville Pike
Bethesda, Md. 20014 An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Referring physicians, other medical facilities (with patient's consent), patients, relatives of patients.

Systems exempted from certain provisions of the act: None.

09-25-0100

System name: Clinical Research: Neuropharmacology Studies. HEW/NIH/NINCDS.

Security classification: None.

System location:

Building 36, Room 5A06
9000 Rockville Pike
Bethesda, MD 20014

Categories of individuals covered by the system: Patients in NIH-related studies concerning aspects of neuropharmacology.

Categories of records in the system: Medical data.

Authority for maintenance of the system: 42 USC 241, 289a, 289c.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Clinical research data are made available to approved or collaborating researchers, including DHEW contractors and grantees. Information may be used to respond to Congressional inquiries for constituents concerning admission to the NIH Clinical Center. Certain infectious diseases are reported to State Government as required by law. Referrals may be made of assignments of research investigators and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange, (Appendix B, Department Regulations 45 CFR Part 5b, item 2). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: They are stored in laboratory notebooks, file folders and on index cards.

Retrievability: They are retrieved by name, diagnosis, data of laboratory determination. HEW use: Medical research on patients. HEW users: limited to physicians and scientists working within the laboratory unless data formatted so that individual patient identities are not discernible.

Safeguards: Access limited to authorized personnel (system manager and his staff).

Retention and disposal: Years at NIH: indefinitely.

System manager(s) and address:

Director, Intramural Research
Building 36, Room 5A05, NIH
9000 Rockville Pike
Bethesda, MD 20014

Notification procedure:

Head, Admin. Management Section
Building 31, Room 8A47, NIH
9000 Rockville Pike
Bethesda, MD 20014 An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Other medical, scientific and educational institutions; individual physicians in private practice.

Systems exempted from certain provisions of the act: None.

09-25-0102

System name: Grants: Associates Program. HEW/NIH/DRG.

Security classification: None.

System location:

Westwood Building, Room 2A03
5333 Westbard Avenue
Bethesda, MD 20016

Categories of individuals covered by the system: Grants Associates Training Program Applicants.

Categories of records in the system: Application, correspondence, curriculum vitae.

Authority for maintenance of the system: 5 USC Part III; 42 USC 241c.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Sent to Civil Service Commission for salary approval. Sent to State Governments or Educational Institutions for assignment of accepted applicants to training position. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: They are stored in file folders.

Retrievability: They are retrieved by name. HEW use: Used by staff to review applications, conduct correspondence and manage the program.

Safeguards: Access limited to authorized personnel (system manager and his staff).

Retention and disposal: Years at NIH: 3. Disposal methods include burning or shredding paper materials and erasing computer tapes.

System manager(s) and address:

Executive Secretary, Grants Associates Program
Westwood Building, Room 2A03, NIH
5333 Westbard Avenue
Bethesda, MD 20016

Notification procedure: Write to System Manager.

Record access procedures:

Privacy Act Coordinator
Westwood Building, Room 448, NIH
5333 Westbard Avenue
Bethesda, MD 20016

Contesting record procedures: Write to the official at the address specified under ACCESS procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Individual, educational institution attended by individual, and references.

Systems exempted from certain provisions of the act: None.

09-25-0105

System name: Administration: Employee Health Records. HEW/NIH/OD.

Security classification: None.

System location:

Building 10, NIH
9000 Rockville Pike
Bethesda, MD 20014
and
Rocky Mountain Laboratory
Hamilton, Montana 59840
Regional Federal Records Center

Categories of individuals covered by the system: Employees, fellows, visiting scientists, relatives of inpatients, visitors, contractors working on site.

Categories of records in the system: Medical records.

Authority for maintenance of the system: 5U.S.C. 7901

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: For adjudication of benefits under workman's compensation and for disability retirement and other separation actions: to District office of OFEC, Department of Labor with copies to CSC for disability retirement and other separation actions. Upon non-HEW agency request, examination to determine fitness for duty with copies to requesting agency and to CSC. Records released to family physician at request of employee. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Stored in file folders.

Retrievability: Retrieved by name. HEW Use: Used by physicians and health service personnel: for medical treatment; upon researcher request, and with employee's written permission, release of record for research purposes to medical personnel; upon request by DHEW personnel offices: determination of fitness for duty, with copies to DHEW personnel offices and the Civil Service Commission.

Safeguards: Records are maintained in locked cabinets with access limited to authorized personnel (system manager and his staff).

Retention and disposal: Years at NIH in Bethesda: 2. Years at FRC: 6. Years at Rocky Mountain Laboratory: Indefinitely.

System manager(s) and address:

Office Manager
Occupational Medical Service
Building 10, Room B5A06, NIH
9000 Rockville Pike
Bethesda, MD 20014

Administrative Officer
Rocky Mountain Laboratory
Hamilton, Montanna 59840

Notification procedure: Contact System Manager at treatment location. An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures:

Medical Director
Occupational Medical Service
Building 10, Room B5A06, NIH
9000 Rockville Pike
Bethesda, MD 20014

Administrative Officer
Rocky Mountain Laboratory
Hamilton, Montana 59840 Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Data resulting from clinical and preventive services provided at treatment location. Data received from individual.

Systems exempted from certain provisions of the act: None.

09-25-0106

System name: Correspondence: Executive Secretariat, NIH. HEW/NIH/OD.

Security classification: None.

System location:

Building 12A, NIH
9000 Rockville Pike
Bethesda, MD 20014

Categories of individuals covered by the system: Individuals who request information on NIH programs.

Categories of records in the system: Correspondence.

Authority for maintenance of the system: 5 USC 301 44 USC 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: They are stored by computer index and on file folders.

Retrievability: They are retrieved by name, document number, date, and subject. HEW use: to locate and follow-up correspondence to assure prompt reply. Forwarded to other DHEW components when a response from them is warranted.

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

Retention and disposal: Years at NIH: indefinitely.

System manager(s) and address:

Director, Executive Secretariat
Building 1, Room 18, NIH
9000 Rockville Pike
Bethesda, MD 20014

Notification procedure: Write to System Manager.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Records are derived from incoming and outgoing correspondence.

Systems exempted from certain provisions of the act: None.

09-25-0108

System name: Personnel: Guest Workers/Visiting Fellows/Student Scientists. DHEW/NIH/DPM.

Security classification: None.

System location: Each NIH Personnel and Administrative Office.

Categories of individuals covered by the system: Individuals using NIH facilities who are not employees.

Categories of records in the system: Personal inforatmion including name, address, date and place of birth, education, employment, purpose for which NIH facilities are desired, outside sponsor, and NIH sponsor.

Authority for maintenance of the system: 42 USC 241.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To CSC for program evaluation purposes; to GAO for fund disbursement determinations; to institutions providing support; to persons representing the subject individual; to the U.S. State Department for matters related to its mission. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: File folders.

Retrievability: They are retrieved by name. HEW use: To document the individuals' presence at NIH and to record that the individual is not performing a service for the government. Retrievable by name.

Safeguards: The records are maintained in locked file cabinets with access limited to authorized personnel.

Retention and disposal: Years at NIH: 3 years after visit. Disposal methods include burning or shredding paper materials and erasing computer tapes.

System manager(s) and address:

Assistant Director for Operations
Bldg. 1, Rm 19
9000 Rockville Pike
Bethesda, MD 20014

Notification procedure: Chief, Personnel Communications Branch
Building 31, Room 1C31
9000Rockville Pike
Bethesda, MD 20014 Pike, Bethesda, MD 20014

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Individual, management, institution, State Department.

Systems exempted from certain provisions of the act: None.

09-25-0111

System name: Mailing List: NIH Guide to Grants & Contracts. DHEW/NIH/DRG.

Security classification: None.

System location:

Building 31, Rm 1C02
9000 Rockville Pike
Bethesda, Md. 20014

Categories of individuals covered by the system: Principal investigators of research proposals, consultants, research investigators of contracts, science administrators, and general public.

Categories of records in the system: Mailing list.

Authority for maintenance of the system: 42 U.S.C. 241(a).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Computer tape.

Retrievability: HEW use: Mailing of the NIH Guide to Grants and Contracts. Retrieved by name.

Safeguards: Access limited to authorized personnel (system manager and his staff).

Retention and disposal: Number of years held at NIH: Indefinitely. How destroyed: names eliminated from tape.

System manager(s) and address:

Director, DAS
Bldg. 31, Rm. 1C02
9000 Rockville Pike
Bethesda, Md. 20014

Notification procedure: Write to System Manager at address above.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Requests by individuals to be on the mailing list, lists received from various other components of NIH.

Systems exempted from certain provisions of the act: None.

09-25-0112

System name: Grants: Research, Research Training, Fellowship and Construction Applications and Awards. HEW/NIH/OD.

Security classification: None.

System location: See Appendix I.

Categories of individuals covered by the system: Grant applicants and Principal Investigators; Program Directors; Institutional and Individual Fellows; Research Career Awardees.

Categories of records in the system: Grant Applications and review history, awards, financial records and progress reports and related correspondence.

Authority for maintenance of the system: 42 USC 241(c), (d), 276, 281, 287, 288, 289(a), (d), (e), (i), 289(k-2) 58 Stat. 691 (repealed).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) To the Smithsonian Science Information Exchange for dissemination of science information (abstracts of research grants only); (2) To the Cognizant Audit Agency for auditing; (3) To the Department of Justice as required for litigation; (4) To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual; (5) To qualified experts not within the definition of Department employees as prescribed in Department Regulations (45 CFR, Part 5b.2) for

opinions as a part of the application review process; (6) To a Federal agencya in response to its request, in connection with the letting of a contract, or the issuance of a license, grant or other benefit by the requesting agency, to the extent that the record is relevant and necessary to the requesting agency's decision on the matter; (7) To individuals and organizations deemed qualified by the PHS to carry out specific research related to the review and award processes of the PHS; (8) To organizations in the private sector with whom PHS has contracted for the purpose of collating, analyzing, aggregating or otherwiserefining records in a system. The contractor shall be required to maintain Privacy Act safeguards with respect to such records; (9) To the grantee institution in connection with performance or administration under the terms and conditions of the award. (10)In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Stored in file folders, on computer tapes and discs, cards and in notebooks.

Retrievability: Retrieved by name and grant number. HEW use: Information provided is used by NIH staff for review award and administration of grant programs. Information is also use to maintain communication with former fellows who have incurred an obligation through the National Research Service Award Program. Staff may also use curriculum vitae to identify candidates who may serve as ad hoc consultants or committee and council members in the grant peer review process.

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

Retention and disposal: Years at NIH: 1 year after close out except for Construction Grants which are retained for 3 years after close-out. Years at FRC: 5 years except for National Research Service Awards, 9 years and Construction Awards, 12 years.

System manager(s) and address: See Appendix II.

Notification procedure: Write to official at the address specified in Appendix II.

Record access procedures: Write to the official at the address specified in Appendix IV. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR Part 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410).

Contesting record procedures: Contact the official at the address specified in Appendix II and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information submitted by applicant, supplemented by outside reviewers and internal staff.

Systems exempted from certain provisions of the act: None.

Appendix I System Location

National Cancer Institute
Westwood Building
5333 Westbard Avenue
Bethesda, MD 20016
Room 837, 10A15, 8A18, 805, 855, 809, 848

National Heart and Lung Institute
Westwood Building
5333 Westbard Avenue
Bethesda, MD 20016
Room 5A15

National Library of Medicine
Federal Building
7550 Rockville Pike
Bethesda, MD 20014
Room 916A

National Institute of Allergy and Infectious Diseases
Westwood Building
5333 Westbard Avenue
Bethesda, MD 20016
Room 722

National Institute of Arthritis, Metabolism, and Digestive Diseases
Westwood Building
5333 Westbard Avenue
Bethesda, MD 20016
Room 610

National Institute of Child Health and Human Development
Landow Building
7910 Woodmont Avenue
Bethesda, MD 20014
Room A621

National Institute on Aging
Building 31, 9000 Rockville Pike
Bethesda, Maryland 20014
Rm 5C39

National Institute of Dental Research
Westwood Building
5333 Westbard AVenue
Bethesda, MD 20016
Room 518

National Institute of Environmental Health Sciences
Building 12
Research Triangle Park, North Carolina 27709
Room 1213

National Institute of General Medical Sciences
Westwood Building
5333 Westbard Avenue
Bethesda, MD 20016
Room 938

National Institute of Neurological and Communicative Disorders and Stroke
Westwood Building
5333 Westbard Avenue
Bethesda, MD 20016
Room 748

National Eye Institute
Building 31
9000 Rockville Pike
Bethesda, MD 20014
Room 6A47

Division of Research Resources
Building 31
9000 Rockville Pike
Bethesda, MD 20014
Room 5B34

Regional Federal Records Center

Appendix II System Manager and Address

National Cancer Institute

Grants Privacy Act Coordinator
Room 848, Westwood Building
5333 Westbard Avenue
Bethesda, Maryland 20016

National Heart and Lung Institute
Administrative Officer, DEA

Room 5A15, Westwood Building

National Library of Medicine
Associate Director for Extramural Programs
Room 816A, Federal Building

National Institute of Allergy and Infectious Diseases
Administrative Officer, NIAID
Room 707, Westwood Building

National Institute of Arthritis, Metabolism, and Digestive Diseases
Grants Management Officer
Room 639, Westwood Building

National Institute of Child Health and Human Development
Chief, Office of Grants & Contracts
Room A621, Landow Building

National Institute on Aging
Grants Management Officer
Room 5C39, Building 31

National Institute of Dental Research
Grants Management Officer, NIDR
Room 518, Westwood Building

National Institute of Environmental Health Sciences
Grants Management Officer
Room 1213, Building 12

National Institute of General Medical Sciences
Grants Management Officer, NIGMS
Room 938, Westwood Building

National Institute of Neurological and Communicative Disorders and Stroke
Grants Officer, Extramural Programs
Room 738, Westwood Building

National Eye Institute
Grants Management Officer
Room 6A52, Building 31

Division of Research Resources
Director, Office of Grants and Contracts Management
Room 5B34, Building 31

Appendix III Notification Procedures

National Cancer Institute
Chief, Grants Administration Branch
Room 8A18, Westwood Building

National Heart and Lung Institute
Privacy Act Coordinator, NHLI
Room 5A50, Building 31

National Library of Medicine
See Appendix II.

National Institute of Allergy and Infectious Diseases
See Appendix II.

National Institute of Arthritis, Metabolism, and Digestive Diseases
Administrative Officer
Room 9A46, Building 31

National Institute of Child Health and Human Development
See Appendix II.

National Institute on Aging
See Appendix II.

National Institute of Dental Research
See Appendix II.

National Institute of Environmental Health Sciences
See Appendix II.

National Institute of General Medical Sciences
See Appendix II.

National Institute of Neurological and Communicative Disorders and Stroke
See Appendix II.

National Eye Institute
See Appendix II.

Division of Research Resources
See Appendix II.

Appendix IV Record Access Procedures

National Cancer Institute
Chief, Grants Administration Branch
Room 8A18, Westwood Building

National Heart and Lung Institute
See Appendix III.

National Library of Medicine
See Appendix II.

National Institute of Allergy and Infectious Diseases
Chief, Of. of Research Reporting & Public Response
Room 7A32, Building 31

National Institute of Arthritis, Metabolism, and Digestive Diseases
See Appendix III.

National Institute of Child Health and Human Development
See Appendix II.

National Institute on Aging
See Appendix II.

National Institute of Dental Research
Personnel Officer, NIDR
Room 2C23, Building 31

National Institute of Environmental Health Sciences
See Appendix II.

National Institute of General Medical Sciences
Privacy Act Coordinator
Room 9A05, Westwood Building

National Institute of Neurological and Communicative Disorders and Stroke
Head, Administration Mgmt. Section
Room 8A47, Building 31

National Eye Institute
Administrative Officer
Room 6A31, Building 31

Division of Research Resources
See Appendix II.

09-25-0113

System name: Professional Service Agreements (Medical/legal Services). HEW/NIH/DAS.

Security classification: None.

System location:

Building 31, Room 1C02, NIH
9000 Rockville Pike
Bethesda, MD 20014
Regional Federal Records Center

Categories of individuals covered by the system: Medical Consultants under contract with the NIH Clinical Center and patent attorneys who provide professional services in connection with legal patent searches for the NIH.

Categories of records in the system: Contract Administration Data.

Authority for maintenance of the system: 42 USC 241 (d).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Stored in file folders.

Retrievability: Retrieved by name. HEW Use: Official business record maintenance of contractual agreements of those individuals who are providing consultative medical services to the NIH Clinical Center. HEW user: used by procurement & financial personnel.

Safeguards: Records are maintained in locked cabinets with access limited to authorized personnel (system manager and his staff).

Retention and disposal: Years at NIH: 2. Years at FRC: 4.

System manager(s) and address:

Director, DAS
Building 31, Room 1C02, NIH
9000 Rockville Pike
Bethesda, MD 20014

Notification procedure: Write to System Manager.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Individuals.

Systems exempted from certain provisions of the act: None.

09-25-0114

System name: Personal Services Contractors. HEW/NIH/NIGMS.

Security classification: None.

System location:

Westwood Building, Room 9A09
5333 Westbard Avenue
Bethesda, Md. 20016

Categories of individuals covered by the system: Individuals under contract with NIGMS.

Categories of records in the system: Work qualifications, description of services to be performed.

Authority for maintenance of the system: 42 USC 241(d), 289e.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Stored in file folders.

Retrievability: Retrieved by name of contractor. HEW use: Record of agreed upon services, reference by institute staff in monitoring contractor's performance.

Safeguards: Records are kept in locked file cabinets and access limited to authorized personnel (system manager and his staff).

Retention and disposal: Years at NIH: 3. Disposal methods include burning or shredding paper materials and erasing computer tapes.

System manager(s) and address:

Administrative Officer
Westwood Building Room 9A09
5333 Westbard Avenue
Bethesda, Md. 20016

Notification procedure: Write to System Manager.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Individual.

Systems exempted from certain provisions of the act: None.

09-25-0115

System name: Curricula Vitae. HEW/NIH/NIAID

Security classification: None.

System location:

Building 31, Room 7A10, NIH
9000 Rockville Pike
Bethesda, MD 20014

Categories of individuals covered by the system: Consultants and Clinical Investigators under NIAID Investigational New Drug Applications.

Categories of records in the system: Curriculum vitae.

Authority for maintenance of the system: 42 USC 241(d) 289a.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Stored in books.

Retrievability: Retrieved by name. HEW uses: For appointment of consultants and filing in Investigational New Drug Application. HEW users: branch staff.

Safeguards: Access limited to authorized personnel (system manager and his staff).

Retention and disposal: Years at NIH: indefinitely.

System manager(s) and address:

Chief, Clinical Studies Branch
Building 31, Rm 7A49
9000 Rockville Pike
Bethesda, MD 20014

Notification procedure: Write to System Manager

Record access procedures: Write to official named below. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with De-

partment Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8e 1975, page 47410.).

Chief, Of. of Research Reporting & Public Response
Building 31, Room 7A32, NIH
9000 Rockville Pike
Bethesda, MD 20014

Contesting record procedures: Contact the official at the address specified under access procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Individuals.

Systems exempted from certain provisions of the act: None.

09-25-0116

System name: Professional Services Contracts. HEW/NIH/NIAID.

Security classification: None.

System location:

Building 31, Room 7A10, NIH
9000 Rockville Pike
Bethesda, MD 20014

Categories of individuals covered by the system: Medical consultants under contract with NIAID.

Categories of records in the system: Administrative files, biographical data.

Authority for maintenance of the system: 42 USC 241(d) 289a.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Stored in card files.

Retrievability: Retrieved by name. HEW uses: to prepare travel orders. professional services contracts, and honorarium forms. HEW users: staff of branch.

Safeguards: Access limited to authorized personnel (system manager and his staff).

Retention and disposal: Years at NIH: indefinitely.

System manager(s) and address:

Chief, Development and Applications Branch
Westwood Bldg., Rm. 750
5333 Westbard Ave.
Bethesda, MD 20014

Notification procedure: Write to System Manager.

Record access procedures: Write to official named below. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Chief, Of. of Research Reporting & Public Response
Building 31, Room 7A32, NIH
9000 Rockville Pike
Bethesda, MD 20014

Contesting record procedures: Contact the official at the address specified under access procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Individuals.

Systems exempted from certain provisions of the act: None.

09-25-0117

System name: US-Japan Program. HEW/NIH/NIAID.

Security classification: None.

System location:

Westwood Building, Room 739
5333 Westbard Avenue
Bethesda, MD 20016

Categories of individuals covered by the system: Panel Members of the U.S.-Japan Cooperative Medical Science Program.

Categories of records in the system: Letters of appointment, curriculum vitae & correspondence.

Authority for maintenance of the system: 42 USC 241(d) 289a.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Stored in file folders.

Retrievability: Retrieved by name. HEW uses: NIAID staff in administration of program and for preparing correspondence with panel members.

Safeguards: Access limited to authorized personnel (system manager and his staff).

Retention and disposal: Years at NIH: 2. Disposal methods include burning or shredding paper materials and erasing computer tapes.

System manager(s) and address:

Administrative Assistant, MIDP, NIAID
Westwood Building, Room 739
5333 Westbard Avenue
Bethesda, MD 20016

Notification procedure: Write to System Manager.

Record access procedures: Write to official named below. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Chief, Of. of Research Reporting & Public Response
Building 31, Room 7A32, NIH
9000 Rockville Pike
Bethesda, MD 20014

Contesting record procedures: Contact the official at the address specified under access procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Panel members.

Systems exempted from certain provisions of the act: None.

09-25-0118

System name: Professional Services Contracts. HEW/NIH/NCI.

Security classification: None.

System location: Appendix I.

Blair Building, Room 7A07, DCCR, NIH
8300 Colesville Road
Silver Spring, MD 20910

Building 31, Rm. 6A09, DCT
9000 Rockville Pike
Bethesda, Md. 20014

Building 31, Rm. 3A22,OD

9000 Rockville Pike
Bethesda, Md. 20014

Categories of individuals covered by the system: Individuals under contract with the NCI.

Categories of records in the system: Professional Services Contracts.

Authority for maintenance of the system: 42 USC 241(d), 281.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Stored in file folders.

Retrievability: Retrieved by name. HEW uses: Used by staff for general administrative purposes iny compliance with program requirements.

Safeguards: Access limited to authorized personnel (system manager and his staff).

Retention and disposal: Years at NIH: 5. Disposal methods include burning or shredding paper materials and erasing computer tapes.

System manager(s) and address: Appendix II.

Chief, Offiice of Committee & Review Activities, DCCR
Blair Building, Room 7A07, NIH
8300 Colesville Road
Silver Spring, MD 20910

Administrative Officer, DCT
Building 31, Room 3A50, NIH
9000 Rockville Pike
Bethesda, MD 20014

Administrative Officer, OD
Building 31, Room 11A29, NIH
9000 Rockville Pike
Bethesda, MD 20014

Notification procedure: Write to System Manager.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: None specified.

Systems exempted from certain provisions of the act: None.

09-25-0121

System name: Grants: Senior International Fellowships Program. DHEW/NIH/FIC.

Security classification: None.

System location:

Bldg. 31,Room 2B62, NIH
9000 Rockville Pike
Bethesda, MD, 20014
Regional Federal Records Center

Categories of individuals covered by the system: Applicants for Senior International Fellowships.

Categories of records in the system: Employment and education histories, references.

Authority for maintenance of the system: 42 U.S.C. 242 e.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Each fellow's home institution receives a notice of award and funding for the fellowship. Applications are made available to authorized employees and agents of the US, including the General Accounting Office for purposes of investigations, inspections and audits, and in appropriate cases, to the Department of Justice for proper action under civil and criminal laws. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: File folders; magnetic tapes.

Retrievability: Retrieved by name and fellowship number. HEW use: These fellowships are available to outstanding faculty members in mid career from U.S. schools of medicine, osteopathy, dentistry, and public health for study abroad. Applications are submitted to Division of Research Grants (DRG), which also performs primary review. FIC performs secondary review and awards fellowships. Necessary information is made available to Division of Financial Management (DFM) for payment of awards.

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

Retention and disposal: Number of years held at NIH: 1. Number of years held at Federal Records Center before disposal: 5.

System manager(s) and address:

Chief, Scholars & Fellowships Branch
Bldg. 31, Room 2B58
9000 Rockville Pike
Bethesda, Md. 20014

Notification procedure: Requests for notification of or access to records should be addressed to the system manager, listed above. Verification of identity is required. (These notification and access procedures are in accordance with Department Regulations (45 CFR 5b.5) Federal Register, October 8, 1975, 47410.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information obtained from applicants and persons supplying recommendations through DRG.

Systems exempted from certain provisions of the act: None.

09-25-0123

System name: Clinical Trials Dealing with Fertility Regulating Methods. DHEW/NIH/NICHD.

Security classification: None.

System location:

Landow Bldg., Room C625
7910 Woodmont Ave.
Bethesda, Md.

and at hospitals and medical centers under contract.

Categories of individuals covered by the system: Volunteers and patients in clinical trials dealing with male and female fertility regulating methods.

Categories of records in the system: Individuals, medical records of subjects participating in clinical trials.

Authority for maintenance of the system: 42 USC 241(g), 289d.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

2. Certain infectious diseases are reported to state governments as required by law.

3. To the Department of Justice or other appropriate Federal Agencies in defending claims against the U. S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Department Regulations, (45 CFR Part 5b), item 100). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: File folders, computer tapes or disks.

Retrievability: Name or identifier codes. HEW uses: Data analysis; program management; DHEW user (Contraceptive Development Branch, Center for Population Research) will receive data extracted by principal investigators from volunteer records describing the effects of various fertility regulating approaches in male and female.

Safeguards: The records are maintained in locked cabinets with access limited to authorized personnel (system manager, principal investigator and his staff assigned to the project, project officer, contracting officer). For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines (e.g. security codes) will be used, limiting access to authorized personnel.

Retention and disposal: One year to indefinitely, depending on the requirements of the specific study. Records are shredded, burned or erased.

System manager(s) and address:

Chief, Contraceptive Development Branch, Center for Population Research, NICHD, NIH
Landow Bldg., Room 7A04
7910 Woodmont Ave.
Bethesda, Maryland 20014

Notification procedure: To determine if a file exists, write to the System Manager and provide the following information:

1. Approximate dates and place of treatment.
2. Name of the study, if known.
3. An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Write to system manager and reasonably identify the record and specify the information to be contested, in accordance with Department Regulations, Federal Register, October 8, 1975, page 47411 (45 CFR, Part 5b.7).

Record source categories: Information provided by subjects and clinical investigators.

Systems exempted from certain provisions of the act: None.

09-25-0124

System name: Pharmacology Research Associates -- HEW/NIH/NIGMS

Security classification: None.

System location:

National Institutes of Health
5333 Westbard Avenue, Westwood Bldg., Room 919
Bethesda, Maryland 20016

Categories of individuals covered by the system: Applicants for positions as Pharmacology Research Associates with the National Institute of General Medical Sciences.

Categories of records in the system: Individual application forms, academic transcripts and references.

Authority for maintenance of the system: 42 USC 209.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: File folders.

Retrievability: By name of applicant. HEW uses: (1) for consideration of the applicant as a candidate for the Pharamacology Research Associate Training Program (PRAT). (2) for consideration of the applicant by other NIH Associate Programs at the applicant's request.

Safeguards: The records are maintained in locked cabinets with access limited to authorized personnel (system manager and his/her staff assigned to the program).

Retention and disposal: 1. Records of applicants who are admitted to the program are kept not more than 5 years. 2. Records of applicants who are not admitted to the program are kept for one year. Records are shredded. 3. All records are shredded after proper time has elapsed.

System manager(s) and address:

Executive Secretary, PRAT Program
Pharmacology-Toxicology Program
NIGMS - NIH
Westwood Bldg., Room 919
Bethesda, Maryland 20015

Notification procedure: To determine if a file exists, write to the System Manager and provide the following information: Date of Application; Applicant's Name.

Record access procedures: Same as notification procedures. Requestors should also reasonably specify the record contents being sought.

Contesting record procedures: Write to system manager and reasonably identify the record and specify the information to be contested, in accordance with Department Regulations, Federal Register, October 8, 1975, page 47411 (45 CFR, Part 5b.7).

Record source categories: Information provided by applicants, university registrars, and references.

5N-on-e.

09-25-0126

System name: National Heart, Lung, and Blood Institute Epidemiological and Biometric Studies. DHEW/NIH/NHLBI.

Security classification: None.

System location: Records included in this system are located in hospitals, universities, research centers, research foundations, and coordinating centers under contract with the National Heart, Lung, and Blood Institute, and in NHLBI facilities in Bethesda, Maryland.

Categories of individuals covered by the system: Participants in these studies include 1) individuals who have been or who are presently being treated by the National Heart, Lung, and Blood Institute, for diseases or conditions of the heart, lung, blood vessels and blood; 2) individuals whose physical, genetic, social, economic, enviornmental, behavioral or nutritional conditions or habits are being studied in relation to the incidence of heart, lung, blood vessel and blood diseases among human beings; and 3) normal volunteers who have agreed to provide control data germane to these studies.

Categories of records in the system: This system consists of a variety of clinical, medical, and statistical information resulting from or contained in research findings, medical histories, vital statistics, personal interviews, questionnaires, or direct observation. The system also includes records of current addresses of study participants, photographs, fingerprints, and correspondence from or about participants in these studies.

Authority for maintenance of the system: Sec. 412, 413 Public Health Service Act (42 U.S.C. 287a, 287b)

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

1. Research data are made available to authorized, collaborating researchers, which includes DHEW contractors and grantees.
2. See Appendix B Departmental Regulations (45 CFR Part 5b), Items: 2,3,8,9,100,101, and 102. (2)Referrals may be made of assignments of research investigators and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange, Inc. (3)In the event the Department deems it desirable or necessary, in determining whether particular records are required to be disclosed under the Freedom of Information Act, disclosures may be made to the Department of Justice for the purpose of obtaining its advice. (8)Where the appropriate official of the Department, pursuant to the Department's Freedom of Information Regulation determines that it is in the public interest to disclose a record which is otherwise exempt from mandatory disclosure, disclosure may be made from this system of records. (9)The Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records. (100)To the Department of Justice or other appropriate Federal agencies in defending claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (101)To individuals and organizations, deemed qualified by the Secretary to carry out specific research solely for the purpose of carrying out such research. (102)To organizations deemed qualified by the Secretary to carry out quality assessments, medical audits or utilization review.
3. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
4. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Data may be stored in file folders, magnetic tapes or discs, punched cards, bound note books.

Retrievability: Information is retrieved by name and/or participant identification number. DHEW Uses: Summaries of data resulting from these studies are used by the National Heart, Lung, and Blood Institute to monitor and evaluate the incidence of the diseases or the conditions under investigation and the relationship of various factors to the occurrence of these diseases, and for program planning and evaluation purposes.

Safeguards: Access to or disclosure of information is limited to authorized researchers, NHLBI employees whose duties require the use of such information, and subject individuals themselves whose identity has been properly verified. Data stored in computers is accessed through the use of key words known only to principal investigatores or authorized personnel. All other information will be stored in locked files.

Retention and disposal: Records are retained by NIH indefinitely, as the documentation from scientific and medical research are normally permanent records.

System manager(s) and address:

Chief, Epidemiology Branch
National Heart, Lung, and Blood Institute
Landow Building, C825
7910 Woodmont Avenue
Bethesda, MD 20014

Notification procedure:

NHLBI Privacy Coordinator
Building 31, NIH
9000 Rockville Pike
Bethesda, MD 20014
Requestors must provide the following information in writing:
1. Full name
2. Name and location of research study
3. Approximate dates of enrollment These notification procedures are in accordance with the DHEW regulations as published in the Federal Register, October 8, 1975, p.47411 (45 CFR, Part 5b.6).

Record access procedures: Same as notification. Requestors should also reasonably specify the record contents being sought. These access procedures are in accordance with the DHEW regulations as published in the Federal Register, October 8, 1975, p.47411 (45 CFR, Part 5b.6).

Contesting record procedures: System Manager as indicated above. The contestor must reasonably specify in writing the record contents at issue.

Record source categories: Information contained in these records is obtained directly from individual participants and from medical and clinical research observations.

15
None.

09-25-0127

System name: Clinical trials dealing with phototherapy for neonatal hyperbilirubinemia--HEW/NIH/NICHD.

Security classification: None.

System location:

Bldg. 31, Room 2A-50
9000 Rockville Pike
Bethesda, Maryland 20014
And six contract sites performing the trials (See Appendix).

Categories of individuals covered by the system: Patients in clinical trials dealing with phototherapy in the newborn.

Categories of records in the system: Individual medical and laboratory records of subjects participating in the study.

Authority for maintenance of the system: 42 U.S.C. 241(g), 289d.

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

1. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from that office made at the request of that individual, parents, or guardian.
2. Certain infectious diseases are reported to state governments as required by law.
3. Information may be given to a primary care physician when treatment or follow-up of a condition noted during the one-year examination given each patient in the study is indicated.
4. To the Department of Justice or other appropriate Federal agencies in defending claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activity of the Public Health Service in connection with such individual.

(Appendix B Departmental Regulations (45 CFR Part 5b), Item 100.) In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: File folders, computer tapes or discs.

Retrievability: Name or identifier code. HEW Uses: Data analysis; program management; DHEW user (Office of the Scientific Director, NICHD) will receive unidentified, aggregate data extracted by the principal investigators from patient records describing the effects of phototherapy on the treatment of hyperbilirubinemia in newborns and the subsequent development of the patient.

Safeguards: The records are maintained in locked cabinets with access limited to authorized personnel (system manager, principal investigator and his staff assigned to the project, project officer, contracting officer). For computerized records, safeguards are established in accordance with Departmental standards and National Bureau of Standards guidelines, e.g. security codes will be used limiting access to authorized personnel.

Retention and disposal: One year to indefinitely, depending on the length of the patient follow-up required to complete the study. Records are shredded, burned or erased.

System manager(s) and address:

Chief, Section on Human Biochemical and Developmental Genetics, NPMB
Intramural Research Program, NICHD, NIH
Bldg. 10, 13N258
9000 Rockville Pike
Bethesda, Maryland 20014

Notification procedure: To determine if a file exists, write to the System Manager and provide the following information:

1. Approximate dates and place of treatment.
2. Name of the study, if known.
3. An individual who requests notification of or access to a medical record shall, at the time the request is made, designate a responsible representative in writing who will be willing to review the record and inform the subject individual of its contents at the representative's discretion (these notification and access procedures are in accordance with Department Regulations (45 CFR, Part 5b.6), Federal Register, October 8, 1975, page 47411).

Record access procedures: Same as notification procedures. Requestors should also reasonably specify the record contents being sought.

Contesting record procedures: Write to system manager and reasonably identify the record and specify the information to be contested, in accordance with Department Regulations, Federal Register, October 8, 1975, page 47411 (45 CFR, Part 5b.7).

Record source categories: Information provided by subjects and clinical investigators.

Systems exempted from certain provisions of the act: None.

APPENDIX I

N01-HD-4-2818

University of Cincinnati
College of Medicine
Cincinnati, Ohio 45219

Principal Investigator:
James M. Sutherland, M.D.

N01-HD-4-2819

State University of New York
Downstate Medical Center
450 Clarkson Avenue
Brooklyn, NY 11203

Principal Investigator:
Dr. Audrey K. Brown

N01-HD-4-2820

Virginia Commonwealth University
Medical College of Virginia
1200 East Broad Street
Richmond, VA 23298

Principal Investigator:
Harold M. Maurer, M.D.

NO1-HD-4-2821

Long Island Jewish Hillside Medical Center
New Hyde Park
New York 11041

Principal Investigator:
Philip J. Lipsitz, M.D.

N01-HD-4-2822

Albert Einstein College of Medicine of Yeshiva University
1300 Morris Park Avenue
Bronx, NY 10461

Principal Investigator:
Lawrence M. Gartner, M.D.

N01-HD-4-2823

Professional Staff Association of the LAC/USC Medical Center
Women's Hospital, Room 919L
1240 Mission Road
Los Angeles, CA 90033

Principal Investigators:
Joan E. Hodgman, M.D.
Paul U. K. Wu, M.D.

09-25-0128

System name: Neural Prosthesis & Biomedical Engineering Studies. HEW/NIH/NINCDS.

Security classification: None.

System location:

NIH
Federal Building, Room 120
7550 Wisconsin Ave.
Bethesda, Md 20014
and at hospitals and medical centers under contract. A list of locations is available upon request from system manager.

Categories of individuals covered by the system: Patients and normal volunteers, males and females, participating in clinical studies to determine the feasibility of neural prostheses, and in clinical studies related to the development of instrumentation for diagnosis and treatment of neurological and sensory disorders conducted under contract for the National Institute of Neurological and Communicative Disorders and Stroke.

Categories of records in the system: Clinical research data as related to studies which seek to determine the feasibility of neural prostheses and to develop instrumentation for diagnosis and treatment of neurological and sensory disorders.

Authority for maintenance of the system: 42 U.S.C. 421, 289a, 289c.

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

1. Records are made available to approved or collaborating researchers, including DHEW contractors and grantees.

2. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
3. To the Department of Justice or other appropriate Federal Agencies in defending claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged, to have arisen because of activity of the Public Health Service in connection with such individual. (Appendix B, Department Regulations (45 CFR Part 5b) Item 100.) In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: They are stored in file folders.

Retrievability: They are retrieved by name. HEW use: research on the feasibility and development of neural prostheses, and research related to the development of instrumentation for the diagnosis and treatment of neurological and sensory disorders. Clinical research data is used by the National Institute of Neurological and Communicative Disorders and Stroke and unidentified aggregate data may be used by other NIH scientists.

Safeguards: The records are maintained in cabinets with access limited to authorized personnel (system manager and members of his staff, project officer, and contracting officer).

Retention and disposal: Years at NIH: indefinitely.

System manager(s) and address:

Director, Fundamental Neurosciences Program
Federal Building, Room 120
7550 Wisconsin Ave
Bethesda, MD 20014

Notification procedure: Write To:

Head, Administrative Management Section
Building 31, Room 8A47
9000 Rockville Pike
Bethesda, MD 20014

and ask if a file exists with your name in the Neural Prothesis or Biomedical Engineering Studies. Also, designate a responsible representative who will be willing to review the record and inform you of its contents at his/her discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Part 5b.6) Federal Register, October 8, 1975, page 47411.)

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Write to system manager and reasonably identify the record and specify the information to be contested, in accordance with Department Regulations, Federal Register, October 8, 1975, page 47411 (45 CFR, Part 5b.7).

Record source categories: Patients, patients' families, hospital records and clinical investigators.

Systems exempted from certain provisions of the act: None.

09-25-0129

System name: Clinical Research Studies dealing with Hearing, Speech and Language Disorders. HEW/NIH/NINCDS.

Security classification: None.

System location:

Federal Building, NIH
7550 Wisconsin Avenue
Bethesda, MD 20014

And at hospitals, medical centers, universities and educational settings under contract. A list of locations is available upon request from the System Manager.

Categories of individuals covered by the system: Patients and normal volunteers participating in clinical research studies dealing with hearing, speech and language disorders.

Categories of records in the system: Medical findings, clinical research data, medical and educational histories and research data on the hearing, speech, language and cognition of subjects being tested.

Authority for maintenance of the system: 42 U.S.C. 241, 289a, 289c.

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

1. Records are made available to approved or collaborating researchers, including DHEW contractors and grantees.
2. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
3. To the Department of Justice or other appropriate Federal agencies in defending claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activity of the Public Health Service in connection with such individual (Appendix B Departmental Regulations (45 CFR Part 5b) Item 100.) In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: They are stored in file folders.

Retrievability: Name or identifier code. HEW uses: Data analysis; program management; DHEW user (Communicative Disorders Program, National Institute of Neurological and Communicative Disorders and Stroke), will receive data extracted by principal investigators from patient and normal volunteer records on the effects of various factors on hearing, speech, language, and cognition.

Safeguards: The records are maintained in cabinets in offices where access is limited to authorized personnel (principal investigator and staff assigned to the project, project officer, contracting officer).

Retention and disposal: Years at NIH: one year to indefinitely, depending on the requirements of the specific study. Following completion of a specific study all individual identification will be removed, or the records destroyed.

System manager(s) and address:

Director, Communicative Disorders Program
Federal Building, NIH
7550 Wisconsin Avenue
Bethesda, Md. 20014

Notification procedure: Write To:

Head, Administrative Management Section
Building 31, Room 8A47
9000 Rockville Pike
Bethesda, Maryland 20014

To ask if a file exists with your name in studies of Communication Disorders Program. Please supply the following information:

1. Approximate date and place of examination and/or treatment.
2. Name of the study, if known.
3. A responsible representative who will be willing to review the record and inform you of its contents at his/her discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Part 5b.6) Federal Register, October 8, 1975, page 47411).

Record access procedures: Same as notification procedures. Requests should also reasonably specify the record contents being sought.

Contesting record procedures: Write to system manager and reasonably identify the record and specify the information to be contested, in accordance with Department Regulations, Federal Register, October 8, 1975, page 47411 (45 CFR Part 5b.7).

Record source categories: Information provided by patients, patients' families, hospital records, school records, and clinical investigators.

Systems exempted from certain provisions of the act: None.

09-25-0130

System name: Environmental Epidemiologic Studies in the Division of Cancer Cause and Prevention, HEW/NIH/NCI.

Security classification: None.

System location:

Landow Building, Room A521
7910 Woodmont Ave.
Bethesda, Md. 20014
and
Bldg. 12, NIH
9000 Rockville Pike
Bethesda, Md. 20014
and at hospitals, medical schools, universities, research institutions, commercial organizations, state agencies, and collaborating government agencies. A list of locations and contracts is available upon request from the System Manager.

Categories of individuals covered by the system: Patients with cancer and related diseases, (e.g., birth defects), patients with other diseases (e.g., heart disease), normal and other persons (e.g., family members) for the purpose of making comparisons.

Categories of records in the system: Medical records, progress reports, correspondence, epidemiological computerized data and records on biological specimens (e.g., blood, tumors, urine, etc.).

Authority for maintenance of the system: 42 U.S.C. 241, and 282.

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

1. Disclosure may be made to DHEW contractors and collaborating researchers and their staff in the conduct of the study and in preparation of scientific reports.
2. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual.
3. The Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records. (Appendix B, Departmental Regulations, 45 CFR Part 5(b), Federal Register, October 8, 1975, page 47415, Item 9.
4. To the Department of Justice or other appropriate Federal agencies in defending claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Departmental Regulations, 45 CFR Part 5(b), Federal Register, October 8, 1975, page 47415, Item 100. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: File folders, microfilm, charts, graphs, computer tapes discs and punch cards.

Retrievability: By name and/or code number. HEW uses: to determine (1) factors or substances in the environment which cause cancer; (2) ways in which these factors or substances may cause cancer; and (3) characteristics of persons who may be particularly susceptible to the environmental factor(s) or substance(s) and/or to cancer.

Safeguards: DHEW contractors and collaborating researchers will comply with the provisions of the Privacy Act and with Department Regulations. Subjects participating in a clinical study will be advised that their identity will only be known to those who are involved in conducting the study and that any published findings will be in a format which precludes individual identification. Data will be kept in secured areas with access limited to authorized personnel (system manager, project officer, contracting officer, collaborating researchers, staff, and DHEW contractors). Data transmitted to the NCI will be in a non-personally identifiable form. For computerized records the contractor will comply, where appropriate, with Department standards and National Bureau of Standards Guidelines. For example, access is controlled by the use of security codes known only to authorized personnel.

Retention and disposal: One year to indefinitely depending on the project. Hard copy burned; computer tapes and discs erased.

System manager(s) and address:

Chief, Environmental Epidemiology Branch
National Cancer Institute
Landow Building, Room A521
7910 Woodmont Avenue
Bethesda, Maryland 20014

Notification procedure:

To determine if a file exists write to system manager and provide the following information:

a. System name: Environmental Epidemiologic Studies in the Division of Cancer Cause and Prevention
b. Complete name at time of study
c. Facility and home address at the time the study was undertaken
d. Date(s) at the time the information was provided (if known)
e. Birthdate
f. Disease type (if known)

Medical records notification procedures are in accordance with Departmental Regulations, Federal Register, October 8, 1975, page 47411 (45 CFR Part 5b.6) (See 12 below)

Record access procedures: The same information provided above for notification is also needed for access. (1) Non-Medical Records - written requests should be made to the System Manager providing identity verification consisting of either a notarization of the request or a certification that the individual is who he or she claims to be, and understands that the knowing and willful request for acquisition of a record pertaining to the individual under false pretenses is a criminal offense under the Act, subject to

5,000 fine. (2) Medical Records access procedures are in accordance with Departmental Regulations, Federal Register, October 8, 1975, page 47411 (45 CFR, Part 5b.6). Individuals seeking access to medical records should designate a representative (including address) who may be a physician, other health professional, or other responsible individual who would be willing to review the record and inform the subject individual of its contents, at the representative's discretion.

Contesting record procedures: Write to system manager and specify the record and the part(s) to be contested.

Record source categories: DHEW agencies, institutions under contract to the U.S. Government, universities, medical schools, hospitals, research institutions, commercial institutions, state agencies, other U.S. Government agencies, patients and normal volunteers, physicians, research investigators and other collaborating personnel.

Systems exempted from certain provisions of the act: None.

09-25-0131

System name: Clinical Epidemiologic Studies in the Division of Cancer Cause and Prevention, HEW/NIH/NCI.

Security classification: None.

System location:

Landow Building, Room A521
7910 Woodmont Ave.
Bethesda, Md. 20014
and
Bldg. 12, NIH

9000 Rockville Pike
Bethesda, Md 20014
and at hospitals, medical schools, universities, research institutions, commercial organizations, state agencies, and collaborating government agencies. A list of locations and contracts is available upon request from the System Manager.

Categories of individuals covered by the system: Patients with cancer and related diseases, (e.g., birth defects), patients with other diseases (e.g., heart disease), normal and other persons (e.g., family members) for the purpose of making comparisons.

Categories of records in the system: Medical records, progress reports, correspondence, epidemiological computerized data and records on biological specimens (e.g., blood, tumors, urine, etc.).

Authority for maintenance of the system: 42 U.S.C. 241, and 282.

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

1. Disclosure may be made to DHEW contractors and collaborating researchers and their staff in the conduct of the study and in preparation of scientific reports.
2. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual.
3. The Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records. (Appendix B, Departmental Regulations, 45 CFR Part 5(b), Federal Register, October 8, 1975, page 47415, Item 9.
4. To the Department of Justice or other appropriate Federal agencies in defending claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. (Appendix B, Departmental Regulations, 45 CFR Part 5(b), Federal Register, October 8, 1975, page 47415, Item 100. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: File folders, microfilm, charts, graphs, computer tapes discs and punch cards.

Retrievability: By name and/or code number. HEW uses: to determine (1) factors or substances in the environment which cause cancer; (2) ways in which these factors or substances may cause cancer; and (3) characteristics of persons who may be particularly susceptible to the environmental factor(s) or substance(s) and/or to cancer.

Safeguards: DHEW contractors and collaborating researchers will comply with the provisions of the Privacy Act and with Department Regulations. Subjects participating in a clinical study will be advised that their identity will only be known to those who are involved in conducting the study and that any published findings will be in a format which precludes individual identification. Data will be kept in secured areas with access limited to authorized personnel (system manager, project officer, contracting officer, collaborating researchers, staff, and DHEW contractors). Data transmitted to the NCI will be in a non-personally identifiable form. For computerized records the contractor will comply, where appropriate, with Department standards and National Bureau of Standards Guidelines. For example, access is controlled by the use of security codes known only to authorized personnel.

Retention and disposal: One year to indefinitely depending on the project. Hard copy burned; computer tapes and discs erased.

System manager(s) and address:

Chief, Clinical Epidemiology Branch
National Cancer Institute
Landow Building, Room A521
7910 Woodmont Avenue
Bethesda, Maryland 20014

Notification procedure:

To determine if a file exists write to system manager and provide the following information:

a. System name: Clinical Epidemiologic Studies in the Division of Cancer Cause and Prevention
b. Complete name at time of study
c. Facility and home address at the time the study was undertaken
d. Date(s) at the time the information was provided (if known)
e. Birthdate
f. Disease type (if known)

Medical records notification procedures are in accordance with Departmental Regulations, Federal Register, October 8, 1975, page 47411 (45 CFR Part 5b.6) (See 12 below)

Record access procedures: The same information provided above for notification is also needed for access. (1) Non-Medical Records - written requests should be made to the System Manager providing identity verification consisting of either a notarization of the request or a certification that the individual is who he or she claims to be, and understands that the knowing and willful request for acquisition of a record pertaining to the individual under false pretenses is a criminal offense under the Act, subject to 5,000 fine. (2) Medical Records access procedures are in accordance with Departmental Regulations, Federal Register, October 8, 1975, page 47411 (45 CFR, Part 5b.6). Individuals seeking access to medical records should designate a representative (including address) who may be a physician, other health professional, or other responsible individual who would be willing to review the record and inform the subject individual of its contents, at the representative's discretion.

Contesting record procedures: Write to system manager and specify the record and the part(s) to be contested.

Record source categories: DHEW agencies, institutions under contract to the U.S. Government, universities, medical schools, hospitals, research institutions, commercial institutions, state agencies, other U.S. Government agencies, patients and normal volunteers, physicians, research investigators and other collaborating personnel.

Systems exempted from certain provisions of the act: None.

09-25-0132

System name: Research studies dealing with prevention of dental caries, plaque, and gingivitus, HEW/NIH/NIDR.

Security classification: None.

System location:

Westwood Building, Rm 534
5333 Westbard Ave.
Bethesda, Md 20014
and at medical/dental facilities, clinics, etc. under contract or participating in direct operations. A list of locations is available from system manager.

Categories of individuals covered by the system: Volunteers and patients participating in research projects involving dental caries, plaque, gingivitus, and agents and/or techniques for their prevention and control.

Categories of records in the system: Individual medical/dental records of participating individuals.

Authority for maintenance of the system: 42 U.S.C. 241, 288a.

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

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

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

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

Storage: File folders, computer tapes, or discs.

Retrievability: Name or identifier code. HEW uses: data analysis; program management. HEW user (National Institute of Dental Research) will receive data extracted by principal investigators from volunteer and patient research records concerning medical/dental measures of dental caries, plaque, gingivitus, and other oral health-related variables.

Safeguards: The records are maintained in locked cabinets with access limited to authorized personnel (system manager, principal investigator, and his staff assigned to the project, project officer, contracting officer). For computerized records, safeguards established in accordance with Departmental standards and National Bureau of Standards guidelines (e.g., security codes) will be used limiting access to authorized personnel.

Retention and disposal: One year to indefinitely, depending on the requirements of the specific study. Records are shredded, burned or erased.

System manager(s) and address:

Chief, Biometry Section
National Caries Program
National Institute of Dental Research
Westwood Building, Rm 534
5333 Westbard Ave
Bethesda, Md 20014

Notification procedure: To determine if a file exists, write to the System Manager and provide the following information:

1. approximate dates and place of examination or treatment
2. name of the study, if known
3. an individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate a responsible representative in writing who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR Part 5b.6) Federal Register, October 8, 1975, page 47411).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Write to system manager, and reasonably identify the record and specify the information to be contested, in accordance with Department Regulations, Federal Register, October 8, 1975, page 47411 (45 CFR, Part 5b.7).

Record source categories: Information provided by subject individuals and clinical investigators.

Systems exempted from certain provisions of the act: None.

09-25-0133

System name: Kidney Transplant Histocompatibility Study(KTHS) DHEW/NIH/NIAID.

Security classification: None.

System location: Records included in this system are located in hospitals, research foundations, and universities under contract, in the Naval Medical Research Institute, and in the National Institute of Allergy and Infectious Diseases facilities in Bethesda, Md. (See Appendix I).

Categories of individuals covered by the system: Patients who have received kidney transplants and donors of kidneys transplanted at participating institutions (See Appendix I) during the period January 1, 1974, through December 31, 1976.

Categories of records in the system: Clinical and medical records containing information on clinical examinations, laboratory findings, and related research records. For kidney recipients, a demographic profile is also included.

Authority for maintenance of the system: 42 U.S.C. 241(g) and 289c.

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

1. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual.
2. Disclosure may be made to the Department of Justice or other appropriate Federal agencies in defending claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual (Appendix B, Departmental Regulations (45 CFR Part 5b), Item 100)
3. Clinical research data are made available to authorized individuals and organizations deemed qualified to carry out specific research solely for the purpose of carrying out such research (Appendix B, Departmental Regulations (45 CFR Part 5b) Item 101).
4. Research data may be made available to organizations deemed qualified by the Secretary to carry out quality assessment, medical audits, or utilization review (Appendix B, Departmental Regulations (45 CFR Part 5b) Item 102)
5. Certain infectious diseases are reported to state governments as required by law. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components, or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: File folders, punched cards, and magnetic tapes or discs.

Retrievability: Information is retrieved by name and location of study and by transplant number. HEW Uses: Summaries of the data developed in this study will be used to study the relevance of tissue typing to the outcome of kidney transplants. The influence of organ preservation techniques and various surgical and medical therapies will be similarly studied. As a regular part of these studies, clinical research data are made available to collaborating researchers who are part of the program. These are HEW employees and/or researchers employed by the contractors.

Safeguards: The records are maintained in file cabinets in offices which are locked when not attended, with access limited to authorized personnel (system manager, principal investigator and his staff assigned to the project, project officer, contracting officer). For computerized records, safeguards are established in accordance with Departmental standards and National Bureau of Standards' guidelines, e.g., security codes will be used limiting access to authorized personnel.

Retention and disposal: Records are retained for five years to indefinitely, depending on the requirements of the study. Records are burned or erased.

System manager(s) and address:

Chief, Transplantation and Immunology Branch
National Institute of Allergy and Infectious Diseases, NIH
Westwood Building, Room 750
5333 Westbard Avenue
Bethesda, Maryland, 20016

Notification procedure: To determine if a record exists, write to the System Manager and provide the following information.

1. Full name
2. Name and location of clinical trial facility
3. Approximate dates of enrollment in the research study. An individual who requests notification of or access to a medical record shall, at the time the request is made, designate a responsible representative in writing who will be willing to review the record and inform the subject individual of its contents at the representative's discretion (these notification and access procedures are in accordance with Department Regulations (45 CFR, Part 5b.6), Federal Register, October 8, 1975, page 47411.

Record access procedures: Same as notification procedures. Requestors should also reasonably specify the record contents being sought.

Contesting record procedures: Write to system manager, and reasonably identify the record and specify the information to be contested, in accordance with Department Regulations, Federal Register, October 8, 1975, page 47411 (45 CFR, Part 5b.7).

Record source categories: Information contained in these records is obtained directly from individual participants and from medical records and clinical research observations.

Systems exempted from certain provisions of the act: None.

APPENDIX I - Location of Records

National Institute of Allergy and Infectious Diseases
Westwood Building, Room 750
5333 Westbard Avenue
Bethesda, Maryland 20016

Louis D. Homer, M.D., Ph.D.
Naval Medical Research Institute
National Naval Medical Center
8901 Rockville Pike
Bethesda, Maryland 20014

And in the offices of the Kidney Transplant Histocompatibility Study Registrars at the following participating hospitals:

University of Arkansas Medical Center
4301 W. Markham
Little Rock, Arkansas 72201

Children's Memorial Hospital
2300 Children's Plaza
Chicago, Illinois 60614

Rush-Presbyterian-St. Luke's Hospital
Chicago, Illinois 60612

Billings Hospital
950 E. 59th Street
Chicago, Illinois 60637

University of Illinois Hospital
840 S. Wood
Chicago, Illinois 60612

Veterans Administration Research Hospital
333 East Huron
Chicago, Illinois 60611

Veterans Administration Hospital
Hines, Illinois 60141

Loyola University Hospital
Maywood, Illinois 60153

Memorial Hospital
Springfield, Illinois 62705

Children's Hospital
300 Longwood Avenue
Boston, Massachusetts 02115

Massachusetts General Hospital
32 Fruit Street
Boston, Massachusetts 02114

Peter Bent Brigham Hospital
721 Huntington Avenue
Boston, Massachusetts

University of Minnesota Hospital
412 Union Street, SE
Minneapolis, Minnesota, 55455

Albany Medical Center
43 New Scotland Avenue
Albany, New York 12208

Downstate Medical Center
450 Clarkson Avenue
Brooklyn, New York 11203

Buffalo General Hospital
100 High Street
Buffalo, New York 14203

Meyer Memorial Hospital
462 Grider Street
Buffalo, New York 14215

Strong Memorial Hospital
260 Crittenden Blvd.
Rochester, New York 14620

Upstate Medical Center
766 Irving Avenue
Syracuse, New York 13210

Cleveland Clinic
2050 E. 93rd Street
Cleveland, Ohio 44106

University of Oklahoma Health Sciences Center
P.O. Box 26901
Oklahoma City, Oklahoma 73190

Parkland Memorial Hospital
5201 Harry Hines
Dallas, Texas 75235

University of Texas Medical Branch
Galveston, Texas 77550

Methodist Hospital
6516 Bertner
Houston, Texas 77025

University of Texas Health Sciences Center, San Antonio
7703 Floyd Curl Drive
San Antonio, Texas 78284

Wilford Hall Hospital
Lackland Air Force Base
San Antonio, Texas 78236

University of Utah Hospital
50 North Medical Drive
Salt Lake City, Utah 84112

09-25-0134

System name: Epidemiology Studies, National Institute of Environmental Health Sciences.

Security classification: None.

System location:

National Institute of Environmental Health Services
Environmental Biometry Branch
P. O. Box 12233
Research Triangle Park
North Carolina 27709

Categories of individuals covered by the system: Individuals and minors, both male and female, with known or suspected diseases, maladies, chemical or biological contaminations, as well as normal or non-suspect individuals and minors in control or study groups for the purposes of comparison. Individuals included in this system of records will normally have volunteered to participate in the study and voluntarily provided information for inclusion in the system. The participants may be, but are not limited to, patients, workers subject to specific environments; individuals selected because of social, nutritional, physical, genetic and economic conditions and behavioral characteristics; and members of the general population subject to the variety of contaminants present in the environment.

Categories of records in the system: This system consists of a variety of records pertinent to an individuals' current health status, medical history; occupational history and work environments, and selected items of personal data such as smoking habits, family size

family medical history and domiciles. Examples of information which may be included in this system, are the individual or minor's name, SSAN, date of birth, weight, height, sex, race, medical history, blood type, laboratory results, examination findings, current and previous medications received, list of employers, descriptions of the work environment, substances or compoundsroutinely handled or exposed to, and a history of current and previous residences.

Authority for maintenance of the system: 42U.S.C. 241.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: A. Disclosure may be made to HEW contractors and collaborating researchers and their staff for the purposes of analyzing data and preparing scientific reports and articles.

B. Disclosure may be made to a congressional office from the record of the individual in response to an inquiry from the congressional office, made at the request of the individual, and in the case of a minor, the minor's parent or legal guardian.

C. Other HEW routine uses as published in the Federal Register, October 8, 1975, page 47415, Appendix B and (45 CFR Part 5B) are listed below:

(2) Referrals may be made of assignments of research investigators and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange, Inc.

(3) In the event the Department deems if desirable or necessary, in determining whether particular records are required to be disclosed under the Freedom of Information Act, disclosure may be made to the Department of Justice for the purpose of obtaining its advice.

(8) Where the appropriate official of the Department, pursuant to the Department's Freedom of Information Regulation determines that it is in the public interest to disclose a record which is otherwise exempt from a mandatory disclosure, disclosure may be made from this system of records.

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

(100) To the Department of Justice or other appropriate Federal agencies in defining claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Information will be stored in one of a combination of the following mediums: file folders, data forms, punch card, magnetic tape discs.

Retrievability: Information will be retrieved by personal identifier such as name or code number. Social security numbers which are supplied on a voluntary basis also are used for retrieval. HEW USES: National Institute of Environmental Health Sciences will use the data collected to determine: factors and substances in the environment which have adverse effects on the health and well being of individuals or groups of individuals; the mechanisms by which these factors and/or substances, by themselves or in combination, produce adverse health effects; individual or group characteristics that render persons susceptible to chemical contamination, disease, or other adverse health effects from agents in the environment, general levels of environmental contamination and body burden on a national, regional, or local basis as well as within general or specific work environments; and the scientific basis for advising regulatory agencies such as the Environmental Protection Agency, the National Institute of Occupational Safety and Health and the Department of Labor on adverse health effects of substances and conditions found in the environment.

Safeguards: Access to the information will be controlled by the Project Officer or his representative at remote locations. Contractors or collaborating researchers will, by formal agreement, comply with the provisions of the Privacy Act and Department regulations. Hard copy data will be maintained in locked file cabinets at the National Institute of Environmental Health Sciences or other remote study locations. Information stored in computer systems will be accessible only through proper sequencing of signal commands and access codes specifically assigned to the Project Officer or contractor in accordance with Departmental standards and National Bureau of Standards guidelines. Subjects directly participating in studies will be advised that their identity will be known only to those persons involved in conducting the study and that any published findings will be in a format which precludes individual identification.

Retention and disposal: The records will be maintained until they are no longer required for the research purpose(s) for which the record was established. The records will be destroyed by shredding, burning, or other appropriate means so as to render them illegible. Computer tapes and discs will be erased.

System manager(s) and address:

Chief, Environmental Biometry Branch
National Institute of Environmental Health Sciences
P. O. Box 12233
Research Triangle Park
North Carolina 27709

Notification procedure: Normally, individuals would know whether a file existed on the basis of their voluntary participation and provision of data. However, individuals may write to the systems manager to determine if a file exists. In writing, they should provide the following data:

a. Complete name at the time of the study.
b. Birthdate.
c. Home address at the time of the study.
d. The facility where the examination was given or information otherwise collected.
e. Date, or approximate dates when information was collected or an examination conducted.
f. Name of study if known.
g. A current name, address and telephone number where they can be reached.
h. The name, address and telephone number of a responsible representative who will be willing to review the record and inform the requester of its contents at his/her discretion, in the event the file contains medical or medically related information. The representative may be a physician, other health professional, or any other responsible individual of the person's choice. These provisions for notification regarding medical records are in accordance with Department Regulation (45 CFR Part 5b.6) published in the Federal Register, October 8, 1975, page 47411.

Record access procedures: The same information as outlined under notification procedures is needed for access to records except as noted under the provisions for access to medical records. For non-medical records, the request should be addressed to the Systems Manager and accompanied by either a notarized statement that the person is who he/she claims to be or a certification that the individual is who he/she claims to be, and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense subject to a

5,000 fine. In addition, for access to medical records, as with notification, the requester must provide the name, address, and telephone number of a responsible representative who will be willing to review the record and inform the requester of its contents at his/her discretion. The representative may be a physician, other health professional, or any other responsible individual of the person's choice. These provisions for access to medical records are in accordance with Department Regulation (45 CFR, Part 5b.6) published in the Federal Register, October 8, 1975, page 47411.

Contesting record procedures: Write to the Systems Manager and specify the record and the information to be contested.

Record source categories: HEW agencies, institutions under contract to the U.S. Government, universities, medical schools, hospitals, commercial, institutions, labor and trade organizations, State agencies, international agencies, foreign governments, other

U.S. Government agencies, patients and normal volunteers, physicians, researchers and other collaborating personnel.

Systems exempted from certain provisions of the act: None.

09-25-0135

System name: PROPHET System Research Prospectuses.

Security classification: None.

System location:

Bldg. 31, Rm. 6A06, NIH
9000 Rockville Pike
Bethesda, MD 20014

Categories of individuals covered by the system: Applicants for access to the facilities and services of the PROPHET System, a unique national computer resource for the study of chemical/biological interrelationships.

Categories of records in the system:

(a)descriptions of the research objectives of the applicant individuals or groups and their plans for use of the PROPHET system in support of their research
(b)biographical sketches of all key individuals associated with the prospectuses
(c)evaluation documents
(d)related correspondence

Authority for maintenance of the system: 42 U.S.C. 241(a)

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

1. To the Smithsonian Science Information Exchange for dissemination of science information (abstracts of research grants only).
2. To the Cognizant Audit Agency for auditing.
3. To the Department of Justice as required for litigation.
4. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
5. To qualified experts not within the definition of Department employees as prescribed in Department Regulations (45 CFR, Part 5b.2) for opinions as a part of the application review process.
6. To a Federal agency, in response to its request, in connection with the letting of a contract, or the issuance of a license, grant or other benefit by the requesting agency, to the extent that the record is relevant and necessary to the requesting agency's decision on the matter.
7. To individuals and organizations deemed qualified by the PHS to carry out specific research related to the review and award processes of the PHS.
8. To organizations in the private sector with whom PHS has contracted for the purpose of collating, analyzing, aggregating or otherwise refining records in a system. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.
9. To the grantee institution in connection with performance or administration under the terms and conditions of the award. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: File folders.

Retrievability: System is indexed by name of principal individual associated with the prospectus and by program identification number. HEW use: system is used exclusively in support of the Chemical/Biological Information-Handling (CBIH) Program management--i.e., technical merit review of prospectuses, allocation of PROPHET services, analysis and evaluation of ongoing activities, and program planning.

Safeguards: The records are maintained in cabinets in the office of the Program Director, CBIH. Access is limited to authorized personnel, i.e., system manager and members of his staff, review committee members.

Retention and disposal: Number of years held at NIH: 2. Disposal methods include burning or shredding paper materials.

System manager(s) and address:

Program Director
Chemical/Biological Information-Handling Program
Division of Research Resources
Bldg. 31, Rm. 6A-04
National Institutes of Health
9000 Rockville Pike
Bethesda, MD 20014

Notification procedure: Program Director, Chemical/Biological Information-Handling Program at address listed above and ask if a file exists with your name in the PROPHET System Research Prospectuses.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Write to system manager and reasonably identify the record and specify the information to be contested, in accordance with Department Regulations (45 CFR, Part 5b.7), Federal Register, October 8, 1975, page 47411.

Record source categories: The information is provided by the individuals themselves and by NIH consultants who assess the scientific and technical merit of the prospectuses.

Systems exempted from certain provisions of the act: None. /*

09-60-0001

System name: Commissioner's Correspondence File HEW SSA OC.

Security classification: None.

System location:

Room 922 Altmeyer Building
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: Any person or group who may write directly to the Commissioner.

Categories of records in the system: The Commissioner's incoming personal correspondence.

Authority for maintenance of the system: Section 205 of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components, or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Paper file, stored in filing cabinets.

Retrievability: Indexed by the name of the correspondent.

Safeguards: Files used for answering correspondence received in the Office of the Commissioner are locked; only two people on the Commissioner's staff and the Commissioner himself have access.

Retention and disposal: Destroyed by shredding when deemed appropriate--general correspondence held 2 years.

System manager(s) and address:

Reference Aide
Office of the Commissioner
922 Altmeyer Building
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure:

Office of the Commissioner
922 Altmeyer Building
6401 Security Boulevard
Baltimore, Maryland 21235

Record access procedures: Any information on a specific individual may be accessed by that individual by writing to the Office of the Commissioner, referencing the 'Commissioner's Correspondence File,' and providing return address. Requestors should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Incoming correspondence.

Systems exempted from certain provisions of the act: None.

09-60-0002

System name: Automated Controlled Correspondence Extraction System HEW SSA OEA.

Security classification: None.

System location:

Office of Public Inquiries
6401 Security Boulevard
Baltimore, Maryland 21235

Office of the Commissioner
6401 Security Boulevard
Baltimore, Maryland 21235

Bureau of Health Insurance
6401 Security Boulevard
Baltimore, Maryland 21235

Bureau of Disability Insurance
Dickenson Tower Building
1500 Woodlawn Drive
Baltimore, Maryland 21241

Bureau of Hearings and Appeals
Ballston Center
Tower 2
800 North Randolph Street
Arlington, Virginia 22204

Categories of individuals covered by the system: Records are maintained for individuals who forward a request for information directly to the Commissioner of the Social Security Administration and for individuals whose requests to members of Congress, the President, etc are forwarded to the Commissioner for response.

Categories of records in the system: Information is maintained in the system solely to aid in the control of correspondence through the various processing steps. Information in the records includes the following: name of individual involved, social security number (if given), name of third party inquirer (if present), 1. type of correspondence (congressional or noncongressional), official to whom inquiry is directed, Congressman's name (if a congressional inquiry), address-to-code (official to whom inquiry is directed, signature code 2. official to whom inquiry is directed, 3. signature code (official whose name will appear on the reply) computer identification code (10 digit code cross referred to the name of the individual), subject matter code, 4. (3 digit code indicating the program area being inquired about), location information (component within the Social Security Administration that received the inquiry and date of receipt), and response information (type and date of Social Security Administration response).

Authority for maintenance of the system: Sections 205(a) and 1631 of the Social Security Act, and Section 413 of the Federal Coal Mine Health and Safety Act (Black Lung).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: The records are maintained on magnetic tape and computer discs.

Retrievability: The system is indexed by both name and by computer identification number, which are cross-referred. It is used to control processing of correspondence within the Social Security Administration Central Office Complex and the Bureau of Hearings and Appeals in Arlington, Virginia, and to provide management information regarding the correspondence process.

Safeguards: Magnetic tape and disc files are protected through standard security measures used for all of the Social Security Administration's computer records. Paper records are subject to the same safeguards as all other information in the Social Security Administration relating to claims and beneficiary records--limited access to social security offices, limited employee access to those that have a need to know; all employees receive instruction in Social Security Administration confidentiality rules in an initial orientation. Guidelines contained in the FIPS PUB 41, Computer Security Guidelines for Implementing the Privacy Act of 1974; FIPS PUB 31, Guidelines for Automatic Data Processing Physical Security and Risk Management, and FIPS PUB 3, ADP System Security Required by the Privacy Act of 1974, were taken into account in development of these safeguards.

Retention and disposal: Records are maintained on-line in the system from the time of control until 13 months after the final response is released. Tape records are then maintained on magnetic tape for an additional 24 months before being erased.

System manager(s) and address:

Director, Office of Public Inquiries
Social Security Administration
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure:

Chief, Office of Public Inquiries Analysis Staff
Social Security Administration
6401 Security Boulevard
Baltimore, Maryland 21235

Identifying information should include the name of the person inquired about, the person to whom the inquiry was sent, and the date of the inquiry.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Inquiries directed to the Commissioner of Social Security Administration from members of the public.

Systems exempted from certain provisions of the act: None.

09-60-0003

System name: Hearing File HEW SSA BHA.

Security classification: None.

System location:

Bureau of Hearings and Appeals
801 North Randolph Street
Arlington, Virginia 22203

Categories of individuals covered by the system: Claimants - Social Security and Black Lung.

Categories of records in the system: When present, this file generally contains: request for hearing, notice of hearing,

'Appearance at Hearing' Card signed by claimant, correspondence to claimantt representative, or other source of evidence, cassette recordings of hearing, HA-503 card (case control device), decision (or dismissal order), and any material otherwise in an Appeals File.

Authority for maintenance of the system: Sections 205, 1631(d)(1), and 1872 of the Social Security Act, as amended, and Section 413(b) of the Federal Coal Mine Health and Safety Act, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine uses for disclosure may involve beneficiaries, representatives, experts, and other participants to a hearing. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: In file drawers (when inactive).

Retrievability: Name and social security number. In the appeals process, the hearing file was a working file for individual cases rising to the hearing level. It was created and retained in the hearing office until final action by the presiding officer, and then retained in the Bureau of Hearings and Appeals central office until all appellate actions were completed. Preparation of new hearing files was discontinued as of May 30, 1975. Hearing files prepared prior to that date are still used, when available, by bureau employees at all appropriate work stations.

Safeguards: Limited access to Social Security Administration offices; limited employee access to need to know.

Retention and disposal: After all actions are completed, forwarded to Federal Records Center.

System manager(s) and address:

Director
Bureau of Hearings and Appeals, Room 402
3833 North Fairfax Drive
Arlington, Virginia 22203

Notification procedure:

Social Security Administration
Bureau of Hearings and Appeals
801 North Randolph Street
Arlington, Virginia 22203

Record access procedures: Written request to above address (social security number must be supplied to provide identification). Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411).

Record source categories: Claimant, representative, appropriate members of the public, the Social Security Administration and other Government, State, and local agencies.

Systems exempted from certain provisions of the act: None.

09-60-0004

System name: Appeals File HEW SSA BHA.

Security classification: None.

System location:

Bureau of Hearings and Appeals
801 North Randolph Street
Arlington, Virginia 22203

Categories of individuals covered by the system: Claimant - Social Security and Black Lung.

Categories of records in the system: This file generally contains analyst's recommendation to the Appeals Council; copies of correspondence and replies during processing of case; requests to Medical Advisory Staff and their comments, if not entered into the record; copies of Appeals Council actions on the case; notice of denial of request for review, order of remand, notice of granting review, decisions; copies of all post-adjudicative actions or correspondence; copies of transcripts when available

Authority for maintenance of the system: Sections 205, 1631(d)(1), and 1872 of the Social Security Act, as amended, and section 413(b) of the Federal Coal Mine Health and Safety Act, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Folder in file drawers.

Retrievability: Name and social security number. The appeals file is an internal working file created at the Bureau of Hearings and Appeals central office (in the absence of a hearing file) upon recommendation to or action by the Appeals Council in an individual case.

Safeguards: Limited access to Social Security Administration Offices; employee access is limited to need to know.

Retention and disposal: Destroy 6 calendar months after appeals council final action where no court action is initiated. Destroy 4 calendar months after final court action in active court cases.

System manager(s) and address:

Director
Bureau of Hearings and Appeals, Room 402
3833 North Fairfax Drive
Arlington, Virginia 22203

Notification procedure:

Social Security Administration
Bureau of Hearings and Appeals
801 North Randolph Street
Arlington, Virginia 22203

Written request to above address (social security number must be supplied to provide identification).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Claimant, representative, appropriate members of the public, Social Security Administration and other government, State and local agencies.

Systems exempted from certain provisions of the act: None.

09-60-0005

System name: Presiding Officer File HEW SSA BHA.

Security classification: None.

System location: All hearing offices (See Appendix G).

Categories of individuals covered by the system: Claimant - Social Security and Black Lung

Categories of records in the system: File established in the hearing office of hearing actions taken on each particular case

Authority for maintenance of the system: Sections 205, 1631(d)(1), and 1872 of the Social Security Act, as amended, and Section 413(b) of the Federal Coal Mine Health and Safety Act, as amended

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity, (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components, or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Folder

Retrievability: Alphabetical. As a reference to indicate actions taken in a particular case at the hearing level, in order to permit the presiding officer or staff to reply to future correspondence

Safeguards: Limited access to Social Security Administration offices, limited employee access to need to know

Retention and disposal: File is destroyed two years after final action was taken

System manager(s) and address:

Director, Bureau of Hearings and Appeals
Room 402
3833 North Fairfax Drive
Arlington, Virginia 22203

Notification procedure:

Social Security Administration
Bureau of Hearings and Appeals
801 North Randolph Street
Arlington, Virginia 22203

Written request to above address, providing name and address of individual

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Claimant, representative, appropriate members of the public, Social Security Administration and other government, State and local agencies.

Systems exempted from certain provisions of the act: None.

09-60-0006

System name: Storage of Hearing Records: Tape Cassettes and Audiograph Discs HEW SSA BHA.

Security classification: None.

System location:

Bureau of Hearings and Appeals
801 N. Randolph St.
Arlington, Virginia 22203

Categories of individuals covered by the system: Claimant - Social Security and Black Lung.

Categories of records in the system: Recording of actual hearing before a presiding officer.

Authority for maintenance of the system: Sections 205, 1631, and 1872 of the Social Security Act, as amended, and section 413(b) of the Federal Coal Mine Health and Safety Act, as amended

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity, (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components, or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Cassette tape and disc storage containers

Retrievability: The records are indexed by name and social security number. Basic record of the hearing conducted in an individual case by the presiding officer, the source utilized in the preparation of documentary transcript, used as a working reference by Social Security Administration employees in event of subsequent correspondence and/or further appeal of the claim, and for processing of attorney fee petition when appropriate

Safeguards: The containers are housed on racks in a secure storage area with access limited to employees. Access to the records is limited to employees with a job-related need to know.

Retention and disposal: Indefinite

System manager(s) and address:

Director, Bureau of Hearings and Appeals
Room 402
3833 North Fairfax Drive
Arlington, Virginia 22203

Notification procedure:

Social Security Administration
Bureau of Hearings and Appeals
801 North Randolph Street
Arlington, Virginia 22203

Social Security number must be supplied to provide identification
Written request to above address.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.)

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Claimant, representative, witnesses, presiding officer and staff.

Systems exempted from certain provisions of the act: None.

09-60-0007

System name: Non-Provider Overpayment Recovery File HEW SSA BHI.

Security classification: None

System location:

Director, Bureau of Health Insurance
6401 Security Blvd.
Baltimore, Md. 21235

Categories of individuals covered by the system: The system contains the name of the beneficiary on whose account an overpayment has been made and the name of the physician to whom the overpayment was made

Categories of records in the system: The file includes completed Medicare claims forms which contain patient's name, sex, claim number, address, date of birth, date of treatment, diagnosis, and summary of treatment rendered as well as other documents that were used in calculating the existence and amount of overpayment.

Authority for maintenance of the system: Section 3, Federal Claims Collection Act of 1966.

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

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

Storage: Paper files maintained in individual folders.

Retrievability: The system is indexed by beneficiary name and cross-indexed by physician name. The purpose of the record is to provide documentation and control of cases in which a Medicare overpayment has been made.

Safeguards: Only authorized personnel are permitted in the file area.

Retention and disposal: The files are retained indefinitely.

System manager(s) and address:

Director Bureau of Health Insurance
6401 Security Blvd.
Baltimore, Marvland 21235.

Notification procedure: Inquiries and requests for system records should be addressed to the Health Care Financing Administration, Bureau of Health Insurance, Office of Program Review, Recovery Staff, E-2 Gwynn Oak Building, 1710 Gwynn Oak Avenue, Baltimore, MD 21235.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Data in these records is obtained from carrier or intermediary billing records.

Systems exempted from certain provisions of the act: None.

09-60-0008

System name: Presiding Officer's Docket HEW SSA BHA.

Security classification: None.

System location: All hearing offices (See Appendix G).

Categories of individuals covered by the system: Claimant - Social Security and Black Lung.

Categories of records in the system: A list of the cases pending before the Presiding Officer.

Authority for maintenance of the system: Sections 205, 1631(d)(1), and 1872 of the Social Security Act, as amended, and section 413(b) of the Federal Coal Mine Health and Safety Act, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components, or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Folder.

Retrievability: Social security number. Enables the presiding officer to maintain control of his caseload.

Safeguards: None specified.

Retention and disposal: As each case is disposed of, it is removed from the list.

System manager(s) and address:

Director
Bureau of Hearings and Appeals, Room 402
3833 North Fairfax Drive
Arlington, Virginia 22203

Notification procedure:

Social Security Administration
Bureau of Hearings and Appeals
801 North Randolph Street
Arlington, Virginia 22203

Written request to above address (social security number must be supplied to provide identification).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Presiding officers, from information on incoming cases.

09-60-0009

System name: Hearings and Appeals Case Control System HEW SSA BHA.

Security classification: None.

System location:

Bureau of Hearings and Appeals
801 North Randolph Street
Arlington, Virginia 22203
and each of the 10 regional offices (see Appendix G)

Categories of individuals covered by the system: Claimant - Social Security and Black Lung.

Categories of records in the system: Social security number, name, type of claim, last action on case/date, location of case (office), date of receipt, hearing request (date/type/schedule date/request for review date), presiding officer, cross reference number.

Authority for maintenance of the system: Sections 205, 1631(d)(1), and 1872 of the Social Security Act, as amended, and section 413(b) of the Federal Coal Mine Health and Safety Act, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Depart-

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

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

Storage:

Social Security Administration
Bureau of Data Processing
6401 Security Boulevard
Baltimore, Maryland 21235 (computer terminus)

Retrievability: Social security number. Provides case location and status for individual cases.

Safeguards: Limited access to Social Security Administration offices, limited employee access to specific authorization by individual.

Retention and disposal: Until retirement to Federal Records Center, then erased and returned to stock.

System manager(s) and address:

Director
Bureau of Hearings and Appeals, Room 402
3833 North Fairfax Drive
Arlington, Virginia 22203

Notification procedure:

Social Security Administration
Bureau of Hearings and Appeals
801 North Randolph Street
Arlington, Virginia 22203 Written request with social security number to provide identification.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.)

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.)

Record source categories: Bureau employees.

Systems exempted from certain provisions of the act: None.

09-60-0010

System name: Hearings and Appeals Case Control Card File HEW SSA BHA.

Security classification: None.

System location:

801 North Randolph Street
Arlington, Virginia 22203

Categories of individuals covered by the system: Claimants for social security and black lung benefits.

Categories of records in the system: Social security claim number; claimant-wage earner; presiding officer/action/dates; Central Office/action/dates, codes hearing office/presiding officer/social security office, routing.

Authority for maintenance of the system: Sections 205, 1631(d)(1), and 1872 of the Social Security Act, as amended, and section 413(b) of the Federal Coal Mine Health and Safety Act, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity, (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Magnetic tape with some punchcard input.

Retrievability: Access is by social security number. This system is being replaced by the Hearings and Appeals Case Control System.

Safeguards: Data processing security site at Social Security Central Office, Baltimore, Maryland (See Appendix J(2)).

Retention and disposal: Indefinite.

System manager(s) and address:

Director, Bureau of Hearings and Appeals
Social Security Administration, Room 503
801 North Randolph Street
Arlington, Virginia 22203

Notification procedure:

Social Security Administration
Bureau of Hearings and Appeals
801 North Randolph Street
Arlington, Virginia 22203 The individual desiring access should provide social security number, name, address, and proof of identity.

Record access procedures: Access to this system may be made by written request to the above address, or by contacting the most convenient social security office.

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Prepared by Bureau employee.

Systems exempted from certain provisions of the act: None.

09-60-0012

System name: Listing of Vocational Experts and Medical Advisors HEW SSA BHA.

Security classification: None.

System location: All Hearing Offices (See Appendix G).

Categories of individuals covered by the system: Vocational Experts and Medical Advisors.

Categories of records in the system: A list of all Vocational Experts and Medical Advisors under contract to the Bureau of Hearings and Appeals who are within the area serviced by the hearing office and their usages. In addition a folder is kept for each expert containing a copy of their contract, qualifications, correspondence, travel orders, and invoices.

Authority for maintenance of the system: Sections 205, 1631(d)(1), and 1872 of the Social Security Act, as amended and Section 413(b) of the Federal Coal Mine Health and Safety Act, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See 45 CFR, Part 5b. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department,

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

Storage: Folder and computer storage devices.

Retrievability: Alphabetically by expert's name - enables the presiding officer to select the needed expert on a rotational basis for utilization in individual cases from computer storage by expert's name and/or social security number.

Safeguards: Limited access to SSA officers, limited employee access to need to know.

Retention and disposal: Retain for 2 years after expiration of contract at which time the record is deleted by erasing all machine readable records and destroying all paper records.

System manager(s) and address:

Director
Bureau of Hearings and Appeals, Room 402
3833 North Fairfax Drive
Arlington, Virginia 22203
and each hearing office (see appendix G)

Notification procedure:

Social Security Administration
Bureau of Hearings and Appeals
801 North Randolph Street
Arlington, Virginia 22203

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Vocational Experts and Medical Advisors.

Systems exempted from certain provisions of the act: None.

09-60-0013

System name: Records of Usage of Medical Advisors HEW SSA BHA.

Security classification: None.

System location:

Bureau of Hearings and Appeals
801 North Randolph Street
Arlington, Virginia 22203

Categories of individuals covered by the system: Medical Advisors.

Categories of records in the system: Records the occasions on which each Medical Advisor supplied advice to the presiding officer.

Authority for maintenance of the system: Sections 205, 1631(d)(1), and 1872 of the Social Security Act, as amended, and Section 413(b) of the Federal Coal Mine Health and Safety Act, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Folders.

Retrievability: Alphabetically by name--used for statistical purposes and to determine whether the contract for a Medical Advisor should be renewed.

Safeguards: Limited access to Social Security Administration offices, limited employee access or need to know.

Retention and disposal: Maintained as long as Medical Advisor is under contract. Incineration or trash disposal.

System manager(s) and address:

Director, Bureau of Hearings and Appeals
Room 402
3833 North Fairfax Drive
Arlington, Virginia 22203

Notification procedure:

Social Security Administration
Bureau of Hearings and Appeals
801 North Randolph Street
Arlington, Virginia 22203

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Presiding Officers.

Systems exempted from certain provisions of the act: None.

09-60-0014

System name: Curriculum Vitae and Professional Qualifications of Staff Physicians and Medical Advisors HEW SSA BHA.

Security classification: None.

System location:

Bureau of Hearings and Appeals
801 North Randolph Street
Arlington, Virginia 22203
and each Hearing office (See Appendix G).

Categories of individuals covered by the system: Staff physicians and medical advisors.

Categories of records in the system: Curriculum vitae and professional qualifications.

Authority for maintenance of the system: Sections 205, 1631(d)(1), and 1872 of the Social Security Act, as amended, and section 413(b) of the Federal Coal Mine Health and Safety Act, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: May be disclosed to parties to a hearing - the claimant (who would be a third party in this instance). Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Folders.

Retrievability: Alphabetically by name. Reproduction for use as an exhibit in individual cases, enables the presiding officer or Appeals Council member to demonstrate the physician's professional background and expertise.

Safeguards: Limited access to Social Security Administration offices, limited employee access to need to know.

Retention and disposal: Maintained as long as staff physician is employed by the Bureau of Hearings and Appeals and medical advisor is under contract.

System manager(s) and address:

Director
Bureau of Hearings and Appeals, Room 402
3833 North Fairfax Drive
Arlington, Virginia 22203

Notification procedure:

Social Security Administration
Bureau of Hearings and Appeals
801 North Randolph Street
Arlington, Virginia 22203

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with De-

partment Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8e 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Staff physicians and medical advisors; medical directories.

Systems exempted from certain provisions of the act: None.

09-60-0015

System name: List of Physicians utilized as Readers of Black Lung X-Ray Films HEW SSA BHA.

Security classification: None.

System location:

Bureau of Hearings and Appeals
801 North Randolph Street
Arlington, Virginia 22203

each Hearing Office (See Appendix G)

Categories of individuals covered by the system: Physicians under contract utilized by BHA for x-ray reading in black lung cases.

Categories of records in the system: Copy of contract, professional qualifications and curriculum vitae of the physicians.

Authority for maintenance of the system: Section 413(b) of the Federal Coal Mine Health and Safety Act, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Folders.

Retrievability: Alphabetically by name--enable the selection of an appropriate physician for reading x-rays in individual cases.

Safeguards: Limited access to SSA offices; limited employee access to need to know.

Retention and disposal: Indefinitely.

System manager(s) and address:

Director, Bureau of Hearings and Appeals
Room 402
3833 North Fairfax Drive
Arlington, Virginia 22203

Notification procedure:

Social Security Administration
Bureau of Hearings and Appeals
801 North Randolph Street
Arlington, Virginia 22203

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Physicians themselves.

Systems exempted from certain provisions of the act: None.

09-60-0016

System name: Health Insurance Master Record--HEW SSA BHI.

Security classification: None.

System location:

Bureau of Data Processing
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: Records are maintained on the following categories: Individuals age 65 or over who currently are, or have been, entitled to health insurance benefits under Title XVIII of the Social Security Act; individuals under age 65 who have been entitled for not less than 24 consecutive months to disability benefits under Title II of the Act or under the railroad retirement system, and the spouse or dependent children of a person fully insured under social security who has chronic renal disease.

Categories of records in the system: The system contains information on enrollment, entitlement, Part A (Hospital) and B (Supplementary Medical) utilization, query and reply activity, health insurance bill and payment record processing, and Health Insurance Master Record maintenance.

Authority for maintenance of the system: Section 1814 and 1833 of Title XVIII of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure may be made to:

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

b. State Welfare Departments for determination of eligibility for Medicaid, and for quality control studies and for determining eligibility of grants-in-aid recipients under Titles IV and XIX of the Social Security Act.

c. State audit agencies for auditing State Medicaid eligibility considerations.

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

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

f. And to contractors under contract to the Social Security Administration or under contract to another agency with funds provided by the Social Security Administration for the performance of research and statistical activities directly relating to the Social Security Act.

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

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

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

Retrievability: System is indexed by health insurance claim number, and is used to carry out the tasks of enrollment, query/reply activity, and health insurance bill and payment record processing.

Safeguards: Unauthorized personnel are denied access to the records area. Disclosure is limited to routine use. For computerized records, electronically transmitted between Central Office and field office locations (including organizations administering SSA programs under contractual agreements), systems securities are established in accordance with Departmental standards and National Bureau of Standards guidelines. Safeguards include a lock/unlock password system, exclusive use of leased telephone lines, a terminal oriented transaction matrix, and an audit trail.

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

System manager(s) and address:

Director, Bureau of Health Insurance
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: Inquiries and requests for system records should be addressed to the most convenient social security office or to the Health Care Financing Administration Bureau of Health Insurance, Health Insurance Inquiries Branch, Baltimore Maryland 21235. The individual should furnish his or her health insurance claim number and name as shown on social security records.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

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

Systems exempted from certain provisions of the act: None.

09-60-0017

System name: Personnel Research and Merit Promotion Test Records HEW SSA OMA.

Security classification: None.

System location:

Office of Human Resources, Office of Management and Administration, SSA
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: SSA employees.

Categories of records in the system: These records include tests, test scores, responses to test items and questionnaires, interview data, and special ratings of employees obtained in test validation and other research.

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 SSA and the Civil Service Commission 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). These records may be also used as a data source for management information for production of summary descriptive statistics and analytical studies in support of the function for which the records are collected and maintained, or for related personnel management functions or manpower studies; may also be utilized to respond to general requests for statistical information (without personal identification of individuals) under the Freedom of Information Act (See also 45 CFR, Part 5b). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity, (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components, or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Records are maintained in file folders, on punched cards, microfiche, computer tape, and computer storage.

Retrievability: Personnel Research--Personal Information can be retrieved by name or personal identifier (such as social security number) only for certain research projects such as those that involve longitudinal studies. Confidential and/or protected information such as ratings or test materials will not be disclosed. Research data are collected on a project by project basis and are used for the construction, analysis and validation of written tests, for research on personnel measurement and selection methods and techniques such as performance evaluation or productivity. No personnel decisions are made in the use of these research records. Many data are collected under conditions assuring their confidentiality. Personal information in this system of records is used by the Personnel Measurement and Research Branch in its research activities. Merit Promotion--Merit promotion test records are maintained by major SSA organization component, name and social security number. Merit promotion test information is used as one of the factors weighted under SSA Merit Promotion Programs.

Safeguards: Records are kept in locked files or locked room, and access is limited to research staff.

Retention and disposal: Indefinite.

System manager(s) and address:

Director, Office of Human Resources
Office of Management and Administration
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: Write to the Director, Division of Policy Management and Research and provide name, name of system, identifier where required, and place of SSA employment or former employment.

Record access procedures: Same.

Contesting record procedures: Same.

Record source categories: Individual SSA employees, supervisors, assessment center assessors or data from SSA personnel files and records.

Systems exempted from certain provisions of the act: Under the provisions of 5 USC 552, Sec. K (6), which provides for exempting 'testing or examination material used solely to determine individual qualifications for appointment or promotion in the Federal service the disclosure of which would compromise the objectivity or fairness of the testing or examination process,' we exempt from disclosure all Social Security Administration merit promotion tests, test item files, answer keys, completed answer sheets, transmutation tables and schedules, and ratings given for the purpose of validating tests.

09-60-0018

System name: Supplementary Medical Insurance Premiums (Buy-In) Master Record--HEW SSA BHI.

Security classification: None.

System location:

Bureau of Data Processing
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: Health insurance beneficiaries whose supplementary medical insurance benefit and/or hospital insurance benefit premiums are paid by a third-party, a State welfare agency, the Civil Service Commission, or a private organization.

Categories of records in the system: Beneficiary's name, health insurance claim number, date of birth, sex, amount of premium liability, date agency first became liable for HIB (Health Insurance Benefit) or SMIB (Supplemental Medical Insurance Benefit) premiums, last month of agency premium liability, agency identification numbers, Civil Service annuity number for Civil Service Commission recipients.

Authority for maintenance of the system: Sections 1840(d) and 1843 of title XVIII of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: State welfare departments pursuant to agreements with the Social Security Administration for enrollment of welfare recipients for medical insurance under section 1843 of the Social Security Act. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Depart-

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

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

Storage: Magnetic tape, microfilm.

Retrievability: The system is indexed by health insurance claim number

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

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

System manager(s) and address:

Director, Bureau of Health Insurance
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: Inquiries and requests for system records should be addressed to the Health Care Financing Administration, Bureau of Health Insurance, Division of Systems, Beneficiary Procedures Branch, Baltimore, Maryland 21235. The individual should furnish his or her health insurance claim number and name as shown on social security records.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: The identifying information contained in these records is obtained from third-party agencies, the Master Beneficiary Record, and the Health Insurance Master Record.

Systems exempted from certain provisions of the act: None.

09-60-0019

System name: Group Health Plan System HEW SSA BHI.

Security classification: None

System location:

Bureau of Data Processing
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: Recipients of Part A (Hospital Insurance) and Part B (supplementary medical) Medicare services.

Categories of records in the system: The system contains information about a beneficiary's health insurance entitlement and supplementary medical benefits usage.

Authority for maintenance of the system: Sections 1866 and 1876 of Title XVIII of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components, or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Magnetic tape and paper listing.

Retrievability: The system is indexed by health insurance claim number.

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

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

System manager(s) and address:

Director, Bureau of Health Insurance
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: Inquiries and requests for system records should be addressed to the Health Care Financing Administration, Bureau of Health Insurance, Division of Direct Reimbursement, Group Practice Prepayment Plan Branch, Baltimore, Maryland 21235. The individual should furnish his or her health insurance claim number as shown on social security records.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.)

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

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

Systems exempted from certain provisions of the act: None.

09-60-0020

System name: Health Insurance Utilization Microfilm HEW SSA BHI.

Security classification: None

System location:

Bureau of Data Processing
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: Records are maintained of all transactions for individuals who are entitled or have been entitled to Medical benefits.

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

Authority for maintenance of the system: Section 1814 and 1833 of Title XVIII of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components, or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Microfilm.

Retrievability: The system is indexed by health insurance claim number. It is used primarily to document the Health Insurance master file and to respond to inquiries. The Health Insurance Utilization Microfilm is the history (audit) trail of all Health Insurance/Supplementary Medical Insurance.

Safeguards: Requests for microfilm must be submitted to the Bureau of Data Processing.

Retention and disposal: Retained indefinitely.

System manager(s) and address:

Director, Bureau of Health Insurance
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: Inquiries and requests for system records should be addressed to the Health Care Financing Administration, Health Insurance Inquiries Branch, Baltimore, Maryland 21235. The individual should furnish his or her health insurance claim number and name as shown on social security records.

Record access procedures: The individual can obtain information on the procedures for gaining access to and contesting records from the most convenient social security office (see Appendix F), or from the Health Care Financing Administration, Bureau of Health Insurance, Health Insurance Inquiries Branch, Baltimore, Maryland 21235. Requesters should also reasonably specify the record contents being sought (These access procedures are in accordance with Department Regulations (45 CFR, Sec.5b.5(a)(2) Federal Register, October 8, 1975, page 47410)

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: The identifying information contained in these records is obtained by the provider of services from the individual, from the individual himself or herself, or from suppliers of services (e.g., physicians).

Systems exempted from certain provisions of the act: None.

09-60-0021

System name: Reconsideration and Hearing Case Files (Part A) Hospital Insurance Program HEW SSA BHI.

Security classification: None.

System location:

Health Care Financing Administration
Bureau of Health Insurance
Division of Special Operations, Reconsideration Branch
Baltimore, Maryland 21235

Categories of individuals covered by the system: Individuals dissatisfied with an initial determination as to the amount of benefits payable on the beneficiary's behalf under the hospital insurance program who have filed either an expressed or implied request for reconsideration.

Categories of records in the system: Reconsideration development and case summary; Part A - review action; complaint sheet; HA-501, Request for Hearing; SSA-561 Request for Reconsideration; and comparable forms and evidence furnished by beneficiaries or their representatives, intermediary action, correspondence, Social Security Administration determination, Administrative Law Judges' decisions, original bills, Appeals Council decisions and related correspondence.

Authority for maintenance of the system: Sections 1812, 1814, and 1816 of Title XVIII of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Records maintained in file cabinets.

Retrievability: The system is indexed by health insurance claim number.

Safeguards: The file is closed to unauthorized personnel. Disclosure of records is limited to routine uses.

Retention and disposal: Records are placed in inactive file when final action is taken on the case and closed out at the end of the calendar year in which final action was taken. They are held 2 additional years, transferred to the Federal Records Center and destroyed after 5 years.

System manager(s) and address: Director, Bureau of Health Insurance, 6401 Security Blvd. Baltimore, Maryland 21235

Notification procedure: Inquiries and requests for system records should be addressed to the Health Care Financing Administration, Bureau of Health Insurance, Reconsideration Branch. The individual should furnish his or her health insurance claim number and name as shown on social security records. The individual can obtain information on the procedures for gaining access to and contesting records from the most convenient social security office or from the Health Care Financing Administration, Bureau of Health Insurance, Health Insurance Inquiries Branch, Baltimore, Maryland 21235

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: The information contained in these records is furnished by the beneficiary, his representative, or other person requesting a review of the claim and from the reviewing authority (the supplementary health insurance carrier).

Systems exempted from certain provisions of the act: None.

09-60-0022

System name: Medicare Beneficiary Correspondence Files HEW SSA BHI.

Security classification: None.

System location:

Health Care Financing Administration
Bureau of Health Insurance (or Bureau of Data Processing)
Baltimore, Maryland 21235

All Health Insurance Regional Offices (see Appendix C, Section 2).
Intermediaries and carriers (see Appendix C, Sections 3 and 4).

Categories of individuals covered by the system: Beneficiaries and others who correspond with the Social Security Administration, Bureau of Data Processing or Bureau of Health Insurance, and/or its carriers and intermediaries.

Categories of records in the system: Correspondence containing inquiries, complaints, or suggestions received by the Social Security Administration district offices, Central Office, regional offices, intermediaries, and carriers.

Authority for maintenance of the system: Section 1872 of Title XVIII of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the

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

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

Storage: Records maintained in file cabinets.

Retrievability: The system is indexed by health insurance claim number. If the correspondent has not furnished his claim number, the correspondence is filed alphabetically, using the last name of the correspondent. It is used to control correspondence in connection with Medicare.

Safeguards: The file area is closed to unauthorized personnel.

Retention and disposal: Correspondence is destroyed 1 year after the close of the year in which the records are dated, except where records are required to document a specific claim, reconsideration, appeal, or similar case, the files are treated in accordance with the instructions for the specific file.

System manager(s) and address:

Director, Bureau of Health Insurance
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: Inquiries and request for records should be directed to the same address as that with which the correspondence was initiated. The individual can obtain information on the procedures for gaining access to and contesting records from the Health Care Financing Administration, or Bureau of Health Insurance, (Health Insurance Inquiries Branch) Baltimore, Maryland 21235.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: The initial correspondence in these records is prepared by the beneficiary or other inquiries; the response is prepared by the appropriate Social Security Administration component.

Systems exempted from certain provisions of the act: None.

09-60-0023

System name: Alphabetical Name File (folder) of Health Insurance Program Consultants HEW SSA BHI.

Security classification: None.

System location:

Bureau of Health Insurance
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: Individuals who have contracted to provide consultant services to the Bureau.

Categories of records in the system: Each folder contains the consultant's name, social security number, mailing address, city and state, ZIP Code. Total amount of the consultant's contract and the amount of money billed each month for his service.

Authority for maintenance of the system: Social Security Act, Section 1874(b).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: File Folder.

Retrievability: Name--Comparing actual expenditures against budget.

Safeguards: Office is locked during nonworking hours.

Retention and disposal: Retain 1 year, then discard.

System manager(s) and address:

Director, Division of Management
Bureau of Health Insurance
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure:

Chief, Financial Management Branch
Division of Management, Bureau of Health Insurance
6401 Security Boulevard
Baltimore, Maryland 21235
Identification will be required.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Administrative Services Section, Division of Management, Bureau of Health Insurance, copy of original contract; amount of consultants' billings per month from the consultant.

Systems exempted from certain provisions of the act: None.

09-60-0024

System name: Carrier Medicare Claims Records HEW SSA BHI.

Security classification: None.

System location: Carriers, under contract to Social Security Administration (See Appendix C, section 4, Federal Register, September 20, 1976, page 41056).

Categories of individuals covered by the system: Recipients of Part B (Supplementary Medical) Medicare benefits.

Categories of records in the system: Request for Payment; Provider Billing for Patient Services by Physician; Prepayment Plan for Group Medicare Practices Dealing through a Carrier; Request for Claim Number Verification, Payment Record Transmittal; Statement of Person Regarding Medicare Payment for Medical Services Furnished Deceased Patient, Report of Prior Period of Entitlement; itemized bills and other similar documents from beneficiaries required to support payments to physicians and other suppliers of Part B Medicare services.

Authority for maintenance of the system: Sections 1842 and 1874 of title XVIII of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine uses for disclosure may be to:

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

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

(1) The individual is unable to provide the information being sought (an individual is considered to be unable to provide certain types of information when any of the following conditions exist: individual is incapable or of questionable

mental capability, cannot read or write, cannot afford the cost of obtaining the information, a language barrier exists, or the custodian of the information will not, as a matter of policy, provide it to the individual), or

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

c. Third-party contacts by the Social Security Administration where necessary to establish or verify information provided by representative payees or payee applicants.

d. The Treasury Department for investigation alleged theft, forgery, or unlawful negotiation of Medicare reimbursement checks.

e. The United States Postal Service for investigating alleged forgery or theft of social security checks.

f. The Department of Justice for investigating and prosecuting violations of the Social Security Act to which criminal penalties attach, for representing the secretary, and for investigating issues of fraud by agency officers or employees, or violation of civil rights.

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

h. Professional Standards Review Organization for utilization review (PSRO).

i. State Licensing Boards for review of unethical practices or nonprofessional conduct.

j. Providers and suppliers of services directly dealing through fiscal intermediaries or carriers for administration of provisions of the title XVIII.

k. Contractors under contract to the Social Security Administration for the performance of research and statistical activities directly relating to the Social Security Act.

l. State welfare departments pursuant to agreements with the Social Security Administration for administration of State supplementation payments for determinations of eligibility for Medicaid, for enrollment of welfare recipients for medical insurance under Section 1843 of the Social Security Act, and for quality control studies and for determining eligibility of grants-in-aid recipients under titles IV and XIX of the Social Security Act.

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

n. State audit agencies in connection with the audit of Medicaid eligibility considerations.

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

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

Storage: Records maintained on paper.

Retrievability: System is indexed by health insurance claim number. The record is prepared by the beneficiary and is used by the carriers to determine amount of and entitlement to Part B benefits. The bills are retained by the carriers. The record is also used to update the Part B Physician/Supplier 25,000 listing. Disclosures of physician's customary charge data are made to state audit agencies in order to ascertain the correctness of Title XIX charges and payments.

Safeguards: Unauthorized personnel are denied access to the records area. Disclosure is limited.

Retention and disposal: Close out at the end of the calendar year in which paid, two additional years, transferred to Federal Records Center and destroy after another two years.

System manager(s) and address:

Director, Bureau of Health Insurance
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: Inquiries and requests for system records should be addressed to the most convenient social security office or to the Health Care Financing Administration, Bureau of Health Insurance, Health Insurance Inquiries Branch, Baltimore, Maryland 21235. The individual should furnish his or her health insurance claim number and name as shown on social security records. An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.)

Record access procedures: The individual can obtain information on the procedures for gaining access to and contesting records from the most convenient social security office or from the Health Care Financing Administration, Bureau of Health Insurance, Health Insurance Inquiries Branch, Baltimore, Maryland 21235.

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

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

Systems exempted from certain provisions of the act: None.

09-60-0025

System name: Medicare Benefit Check Records HEW SSA BHI.

Security classification: None.

System location: Intermediaries and carriers (see Appendix C, Sections 3 and 4).

Categories of individuals covered by the system: Beneficiaries, physicians, and providers of services under Medicare.

Categories of records in the system: Cancelled checks that have been paid to beneficiaries, physicians and providers of services under Medicare.

Authority for maintenance of the system: Sections 1816, 1842, and 1874 of Title XVIII of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Cancelled check files.

Retrievability: Indexed by health insurance claim number. The cancelled checks are retained by the carriers and intermediaries to establish that payment has been made.

Safeguards: The file area is closed to unauthorized personnel.

Retention and disposal: Closed out at the end of the calendar year in which paid or voided, held 1 additional year and transferred to Federal Records Center. Destroyed after 5 years retention there.

System manager(s) and address:

Director, Bureau of Health Insurance
6401 Security Blvd.
Baltimore, Maryland 21235

Notification procedure: Inquiries and requests for cancelled or voided check information should be directed to the most convenient social security office (see Appendix F), or to the carrier or intermediary who made the payment.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: The checks originate in the offices of the carriers and intermediaries to which they are returned after having been negotiated.

09-60-0026

System name: Review and Fair Hearing Case Files-- Supplementary Medical Insurance Program HEW SSA BHI.

Security classification: None.

System location: Carriers (see Appendix C, Section 4).

Categories of individuals covered by the system: Beneficiary, physician, provider or other supplier of service who is dissatisfied with the carrier's determination denying a request for payment, or with the amount of the payment, or with the length of time being taken to process the claim for payment.

Categories of records in the system: Claimants' requests for review, relevant written statements or evidence, notices of adverse informal review decisions, requests for hearings to protest adverse decisions, hearings proceedings, hearings officers' final decisions and comparable papers.

Authority for maintenance of the system: Sections 1812 and 1842 of Title XVIII of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Records are maintained in file cabinets.

Retrievability: The records are indexed by health insurance claim number.

Safeguards: Disclosure of records is limited to routine uses. The files are closed to unauthorized personnel.

Retention and disposal: Records are closed out at the end of the calendar year in which the action (reconsideration, hearing, court review) is completed, held 2 more years, transferred to Federal Records Center and destroyed after another 6 years.

System manager(s) and address:

Director, Bureau of Health Insurance
6401 Security Blvd.
Baltimore, Maryland 21235

Notification procedure: Inquiries and requests for records should be directed to the most convenient social security office or to the Health Care Financing Administration Bureau of Health Insurance, Reconsideration Branch, Baltimore, Maryland 21235. The individual should furnish his or her health insurance claim number and name as shown on social security records. An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: The information contained in these records is furnished by the beneficiary requesting reconsideration or his authorized representative and from the reviewing authority.

Systems exempted from certain provisions of the act: None.

09-60-0027

System name: Explanation of Medicare Benefit Records HEW SSA BHI.

Security classification: None.

System location: Intermediaries (see Appendix C, Section 3; carriers see Appendix C, Section 4).

Categories of individuals covered by the system: All recipients of Medicare services and supplies.

Categories of records in the system: Medicare hospital insurance benefits record. Part B home health benefits record; Medicare hospital insurance benefits record. These are notices of utilization and explanation of Medicare benefits. They also advise beneficiaries of remaining hospital insurance benefits and the hospital and supplementary medical deductible status.

Authority for maintenance of the system: Sections 205, 226, 1811, and 1832 of Title XVIII of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Copies of forms sent to beneficiaries are retained in file cabinets.

Retrievability: The records are indexed by health insurance number. These records are used to advise the beneficiary of the payments made on his or her behalf and where applicable, the benefits remaining.

Safeguards: Disclosure of records is limited. The file area is closed to unauthorized personnel.

Retention and disposal: Close out at the end of the year in which the benefit was paid or denied; held 1 year, transferred to the Federal Records Center where record is destroyed after 5 years.

System manager(s) and address:

Director, Bureau of Health Insurance
6401 Security Blvd.
Baltimore, Maryland 21235

Notification procedure: Inquiries and requests for system records should be addressed to the most convenient social security office (see Appendix F), or to the carrier or intermediary who issued the notice.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents

being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: The identifying information is furnished by the beneficiary when requesting payment; the medical procedures are furnished by the physician or provider and the amount of payment and remaining benefits are furnished by the intermediary or carrier.

09-60-0028

System name: Intermediary Medicare Claims Records HEW SSA BHI.

Security classification: None.

System location: Intermediaries under contract to the Social Security Administration (see Appendix C, Section 3, Federal Register, September 30, 1976, page 41053).

Categories of individuals covered by the system: Recipients of Part A (hospital insurance) Medicare services.

Categories of records in the system: Inpatient hospital and extended care admission and other health services; inpatient admission and billing--Christian Science Sanatorium; home health agency report and billing, and other documents used to support payments to providers of service. These forms contain the beneficiary's name, sex, health insurance claim number, address, date of birth, provider name, physician's name, date of admission and discharge, other health insurance and a statement of services rendered.

Authority for maintenance of the system: Sections 1816 and 1874 of Title XVIII of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine uses for disclosure may be to:

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

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

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

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

c. Third-party contacts by the Social Security Administration where necessary to establish or verify information provided by representative payees or payee applicants.

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

e. The United States Postal Service for investigating alleged forgery or theft of social security checks.

f. The Department of Justice for investigating and prosecuting violations of the Social Security Act to which criminal penalties attach, for representing the secretary, and for investigating issues of fraud by agency officers or employees, or violation of civil rights.

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

h. Professional Standards Review Organization for utilization review (PSRO).

i. State Licensing Boards for review of unethical practices or nonprofessional conduct.

j. Providers and suppliers of services directly dealing through fiscal intermediaries or carriers for administration of provisions of title XVIII.

k. Contractors under contract to the Social Security Administration for the performance of research and statistical activities directly relating to the Social Security Act.

l. State welfare departments pursuant to agreements with the Social Security Administration for administration of State supplementation payments for determinations of eligibility for Medicaid, for enrollment of welfare recipients for medical insurance under Section 1843 of the Social Security Act, and for quality control studies and for determining eligibility of grants-in-aid recipients under titles IV and XIX of the Social Security Act.

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

n. State audit agencies in connection with the audit of Medicaid eligibility considerations. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Records maintained on paper forms, magnetic tape and microfilm.

Retrievability: The system is indexed by health insurance claim number. The record is prepared by the hospital or other provider with identifying information received from the beneficiary to establish eligibility for Medicare and document and support payments to providers by the intermediaries. The paid bills are forwarded to the Social Security Administration, Bureau of Data Processing, Baltimore, Maryland, where they are microfilmed and used to assist in responding to individual inquiries.

Safeguards: Disclosure of records is limited. The file area is closed to unauthorized personnel.

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

System manager(s) and address:

Director, Bureau of Health Insurance
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: Inquiries and requests for system records should be addressed to the social security office nearest the requester's residence (see Appendix F, Federal Register, September 20, 1976, page 41062), or to the Health Care Financing Administration, Bureau of Health Insurance, Health Insurance Inquiries Branch, Baltimore, Maryland 21235. The individual should furnish his or her health insurance claim number and name as shown on social security records. An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.)

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

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

Systems exempted from certain provisions of the act: None.

09-60-0030

System name: Employee Housing Request Files HEW SSA OMA.

Security classification: None

System location:

Office of Human Resources, Office of Management and Administration
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: SSA employees who have requested housing counseling services.

Categories of records in the system: This system of records contains the employee's name, home address, position, grade, work location, work telephone number, housing assistance requested and assistance given

Authority for maintenance of the system: Executive Order 11478.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Statistical data furnished to U.S. Dept. of Housing and Urban Development. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity, (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Maintained in file folders.

Retrievability: Indexed by the employee's name. Information is used by housing counselors to assist employee in finding suitable housing

Safeguards: Access to and use of these records are limited to those persons whose official duties require such access.

Retention and disposal: These records are maintained for 1 year and then destroyed

System manager(s) and address:

Director, Office of Human Resources
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: Contact the System Manager and provide name, clerk number or other identifier, and place of SSA employment or former employment.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.)

Record source categories: Information provided by the employee.

09-60-0031

System name: Employee Production and Accuracy Records HEW SSA OMA

Security classification: None.

System location:

Employees in Baltimore or Washington Headquarters Components,
and Alexandria, Virginia
Director - Bureau or Office
6401 Security Boulevard
Baltimore, Maryland 21235

Employees in Social Security Administration Program Service Centers
(see Appendix A)
Data Operations Centers (see Appendix H)

Employees in Field Installations:
Social Security Administration Regional Commissioner
(See Appendix I), Chief Administrative Law Judges, Bureau of Hearings and Appeals (See Appendix G)

Categories of individuals covered by the system: Social Security Administration employees.

Categories of records in the system: Work measurement records with the following items: employee name, grade, organization unit and shift, social security number, clerk number, Supervisor's name, production data (monthly, weekly, daily), accuracy data, backlog information, error ratio, processing time data, operating and production control codes, leave usage.

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

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

Storage: Maintained on punch cards, magnetic tape, and on paper forms in file cabinets.

Retrievability: Indexed alphabetically and in social security number or clerk number sequence. Used by Social Security Administration management for manpower planning, production control (to identify backlogs, and systems and procedure problems, manpower utilization, budget estimations, appraisal of employees).

Safeguards: Released to employees or management who have a need to know. For computerized records, electronically transmitted between Central Office and field office location (including organizations administering SSA programs under contractual agreements), systems securities are established in accordance with Departmental standards and National Bureau of Standards guidelines. Safeguards include a lock/unlock password system, exclusive use of leased telephone lines, a terminal oriented transaction matrix, and an audit trail.

Retention and disposal: Kept for two years and destroyed.

System manager(s) and address:

Employees in Baltimore or Washington Headquarters Components
Director - Bureau or Office
6401 Security Boulevard
Baltimore, Maryland 21235

Employees of the Bureau of Hearings and Appeals in Arlington, Virginia
Director, Bureau of Hearings and Appeals
801 North Randolph Street
Arlington, Virginia 22203

Employees in Social Security Administration Program Service Centers or
Data Operations Centers
Director
Appropriate Program Service Center or Data Operations Center
Appropriate City and State

Employees in Field installations:

Social Security Administration Regional Commissioner
(or Chief Administrative Law Judge, Bureau of Hearings and Appeals)
Appropriate address, City and State

Notification procedure: Contact the systems manager and provide name, clerk number, or other identifier, and place of Social Security Administration employment or former employment.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Employee completed cards or records records completed by supervisor or control personnel, information furnished by time keeper.

Systems exempted from certain provisions of the act: None.

09-60-0032

System name: Debtors, Credit Counseling and Consumer Protection HEW SSA OMA.

Security classification: None.

System location:

Office of Human Resources, Office of Management and Administration
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: Employees of SSA headquarters who request services or employees about whom the administration receives written inquiries because of employees' alleged delinquency in paying taxes and just debts.

Categories of records in the system: Form SSA-3048:

Employee's name
Social Security Number
Telephone extension
Bureau, branch
Grade
Area of service
Nature of request including personal information as to finances that the employee voluntarily provides
Disposition, including employee's stated intentions
Record of letters or tax forms sent as replies and referrals made to community organizations
Copies of letters from employees to consumer agencies
Letters from creditors or their representatives and copies of our
replies
Copies of tax levies against employees.

Authority for maintenance of the system: Title 45 Public Welfare, Part 73.735-702 Standards of Conduct HEW Federal Personnel Manual, 735-4-10.B1.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Consumer Credit Counseling Service, creditors, and firms or organizations involved in consumer complaints with employee's permission and in employee's presence; Justice Department, Secret Service, and U.S. Attorney (See also 45 CFR, Part 5b). Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: File folders.

Retrievability: Alphabetically by name. These files are also used by staff members of Employee Relations Branch for work processing, perspective in counseling and possible disciplinary action when indicated.

Safeguards: Locked steel file cabinets.

Retention and disposal: Routine cases destroyed by shredding after period of one year except for tax review which are kept indefinitely. Ongoing cases in which there is indepth counseling may be kept up to three years from date of last contact.

System manager(s) and address:

Director, Office of Human Resources
Social Security Administration
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: Inquiries should be addressed to the Director, Division of Personnel and Training Operations Social Security Administration, 6401 Security Boulevard, Baltimore, Maryland 21235, and should include the individual's name.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information obtained from employee, creditors, IRS, State Tax Division of various States. SSA Computer Printout 7887 Part I 'Locator' used to find telephone extension of employees.

Systems exempted from certain provisions of the act: None.

09-60-0033

System name: Requests for review of proposed contracts with experts and consultants HEW SSA OMA.

Security classification: None.

System location:

Office of Human Resources, Office of Management and Administration
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: Individuals for whom personal service contracts are proposed.

Categories of records in the system: Form SSA-2112 Requisition for Services and related correspondence concerning review by the Division of Personnel in order to determine whether services should be obtained by the appointment or by the procurement method. Record may contain individual's name, education, work experience and qualifications, social security number, and date of birth.

Authority for maintenance of the system: 5 USC 3109.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: File cabinet.

Retrievability: Retrievable by name. Used by GAO auditors with requested information concerning the reasons for recommendations made.

Safeguards: Lockable file.

Retention and disposal: Indefinite.

System manager(s) and address:

Director
Office of Human Resources
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure:

Director
Division of Policy Management and Research
6401 Security Boulevard
Baltimore, Maryland 21235

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information furnished by individual and SSA Bureau and Office Management Component.

Systems exempted from certain provisions of the act: None.

09-60-0034

System name: Social Security Administration Contract Files HEW SSA OMA

Security classification: None.

System location:

Office of Management and Administration
Supply Building
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: Individual consultants.

Categories of records in the system: Name, address, contract number, qualifications and the amount of the contract.

Authority for maintenance of the system: Sections 205(a), 1634 and 1842 of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Paper records.

Retrievability: Indexed by name and contract number, and used by employees for post audits and reference.

Safeguards: Files are maintained in locked filing equipment.

Retention and disposal: Each file is maintained for a period of 6 years, 2 years at Social Security Administration and 4 years in a Federal Records Center where they are destroyed.

System manager(s) and address:

Associate Commissioner for Management and Administration
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure:

Director,
Division of Contracting and Procruement
Supply Building
6301 Security Boulevard
Baltimore, Maryland 21235.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information in the files comes directly from the individual consultant as well as bureau or office requesting the service in question.

Systems exempted from certain provisions of the act: None.

09-60-0037

System name: General Criminal Investigation Files HEW SSA OMA.

Security classification: None.

System location:

Office of Management and Administration
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: Reported violators of Federal and State criminal laws on Social Security Administration property.

Categories of records in the system: Investigative efforts to resolve reported crimes and evidence obtained for judicial prosecution.

Authority for maintenance of the system: Section 535 of Title 28, United States Code.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To facilitate the investigation and solution of crimes and the prosecution of offenders. Disclosures are routinely made to the Justice Department. (See 45 CFR, Part 5b, Appendix B(1) and (6)). In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components, or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Heavy-weight Kraft file folders in fireproof, locked, steel cabinets.

Retrievability: Indexed alphabetically by names of subject of investigation.

Safeguards: Access limited in storage area to Protective Security Section only.

Retention and disposal: Seven years, then shredded.

System manager(s) and address:

Chief
Protective Security Branch
Office of Management and Administration
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: An individual can determine if this system contains a record pertaining to him by sending a request in writing to the Systems Manager. The request should contain full name, date of birth, as well as work location in the Social Security Administration.

Record access procedures: Per 5 U.S.C. 552a(k)(2), the records in this system are exempt from access by the individual named in the

records. However, access to information which is a matter of public record or documents furnished by the individual will be permitted.

Contesting record procedures: Same.

Record source categories: Information in files comes from interviews of persons believed knowledgeable about crimes under investigation who furnish relevant facts which can serve to identify possible violators and secure the conviction of the guilty.

Systems exempted from certain provisions of the act: Exemption of this system to the access provisions is claimed under section (k)(2) of the Privacy Act inasmuch as these records are investigatory materials compiled for law enforcement in anticipation of a criminal proceeding. (See page 47413 of Federal Register of 10/8/75, Vol. 40, No. 196, Part V).

09-60-0038

System name: Employee Identification Card Files (Building Passes) HEW SSA OMA.

Security classification: None.

System location:

Office of Management and Administration
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: All social security employees. Non-social security employees who require continuous access to buildings. (e.g. employees of vendors and contractors).

Categories of records in the system: Name, social security number, Bureau/Office, office telephone number, color code for type of pass.

Authority for maintenance of the system: Federal Property Management Regulations, 41 CFR 101-20. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Information maintained on Social Security Administration Forms 364 and 1860.

Retrievability: The forms are indexed by social security number. They are used for admission to social security buildings.

Safeguards: Forms 364 are in locked files; forms 1860 are destroyed after forms 364 are issued.

Retention and disposal: Forms 364 are kept during the length of service of the individual and then destroyed; picture pass is forwarded to Protective Security Office, Social Security Building, 6401 Security Boulevard, Baltimore, Maryland 21235, for destruction.

System manager(s) and address:

Associate Commissioner for Management and Administration
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure:

Chief
Facilities Branch
Office of Management and Administration
6401 Security Boulevard
Baltimore, Maryland 21235

For replacement, individual is required to fill out Social Security Form 1860.
Request for Replacement

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information in these files is received from the Division of Personnel as well as individual employees, contractors, or vendors.

Systems exempted from certain provisions of the act: None.

09-60-0039

System name: Court Docket and Card File HEW SSA OMA.

Security classification: None.

System location:

Office of Management and Administration
Social Security Administration
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: Reported violators of Federal laws (Local Rule 70, U.S. District Court) on Social Security property

Categories of records in the system: U.S. Court Docket--contains name of employee, vehicle tag number (if applicable), date of offense, violation, fine, officer's name, and number of violation notice. Final disposition of cases is noted hereon. Court docket file cards contain name of employee, court docket date, page number, and disposition.

Authority for maintenance of the system: 41 CFR 101-20 503-2.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Flat file in standard file cabinet. Dockets amount to about 1 inch per year.

Retrievability: Docket sheets are filed in chronological order and grouped by month. Cards are filed alphabetically by employee name. This file is used to remind employees of their obligations in an effort to reduce the necessity of U.S. marshalls serving arrest warrants on SSA property during normal duty hours.

Safeguards: No one except liaison officer allowed in files. Office locked after normal duty hours. Any request for information is referred to the U.S. District Court.

Retention and disposal: Docket sheets destroyed after 2 years by shredding. Cards are removed after 1 year if employee is not a repeat violator. If so, card is maintained until violator does not repeat in 1 year. After 1 year, card is destroyed by shredding.

System manager(s) and address: There is basically a convenience file maintained by the Court Liaison Officer, Division of Management Services, 1-L-25 Operations, Social Security Building, 6401 Security Boulevard, Baltimore, Maryland 21235

Notification procedure: An individual should contact the system manager for access, and should provide his name and the approximate date of the alleged violation.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with De-

partment Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8e 1975 page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: U.S. District Court docket copy.

Systems exempted from certain provisions of the act: None.

09-60-0040

System name: Supplemental Security Income Quality Assurance System HEW SSA OMA.

Security classification: None.

System location:

Bureau of Data Processing
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: Randomly selected individuals who have applied to the Social Security Administration for supplemental security income benefits and those who were transferred from State welfare rolls for Aid to the Aged, Blind, and Disabled to the rolls of supplemental security income beneficiaries.

Categories of records in the system: Quality Assurance data base, selected case file contingency sample master file, quality assurances universe file designated case file, designated case transmission file, designated case extract file, sample control list, and Federal fiscal liability control file. These records may contain: social security number State and county of residence, type of claim, information regarding Federal or State administered supplementation payments, social security claim numbers, living arrangements and family composition, income information, sex, race, resources, third party contacts, and indications of processing errors.

Authority for maintenance of the system: Sections 205(a), 1631(d), and 1631(e) of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The Quality Assurance data base is used for accumulating and tabulating data to determine the accuracy of the eligibility status of beneficiaries and of benefit amounts paid under the supplemental security income program. It is also used to calculate the Federal fiscal liability case and gross dollar error rates for State supplement funds administered by the Social Security Administration. Other categories of records provide data necessary to complete the data base and to provide information to the Social Security Administration's Quality Assurance Field Staffs needed to review cases in order to obtain information on the quality of work accomplished in the supplementary security income program. Contact is had with members of the community, and local, State, and Federal agencies in order to determine the accuracy of the case decisions. (See also 45 CFR, Part 5b). Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity, (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components, or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Magnetic tape.

Retrievability: In sequence by social security number.

Safeguards: Tapes are stored in tape vault in Electronic Data Processing Operations Branch or in protected storage racks. The entire area is secured by guarded entrances, with admission limited to authorized personnel.

Retention and disposal: The Quality Assurance data base is retained indefinitely. Other records are erased after 3 to 6 months.

System manager(s) and address:

Director, Office of Quality Assurance
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: Requests may be forwarded to the Director, Division of Quality Review, Office of Quality Assurance, 6401 Security Boulevard, Baltimore, Maryland 21235. An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information in the supplemental security income quality assurance system is furnished by applicants for and beneficiaries of supplemental security income, representative payees of such individuals (where appropriate), Social Security Administration offices, other Federal and State agencies, and (with prior written permission of the applicant or beneficiary) from private sources.

Systems exempted from certain provisions of the act: None.

09-60-0042

System name: Quality Assurance Casefile HEW SSA OMA.

Security classification: None.

System location: Twenty-five (25) field offices located throughout the United States (See Appendix D-4).

Categories of individuals covered by the system: Applicant/Beneficiary--An individual who filed a prescribed application for SSI benefits/ an aged, blind, or disabled person who meets the SSI requirement.

Categories of records in the system: The Quality Assurance Casefile contains information from SSA records and information obtained by Qaulity Assurance Specialists from SSI beneficiaries and from collateral sources. This information relates to the sampled beneficiary's eligibility for SSI payments and to his payment amount. The information is used in conjunction with similar information obtained on a random basis nationwide to determine the effectiveness of SSA's administration of the SSI program and to whether or not policies and procedures relating to this program are being administered in a correct and uniform manner.

Authority for maintenance of the system: Sections 1631(d)(1) and 1631(e)(1)(B) of title XVI of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information in a file may be used to contact third-party sources to verify the beneficiary's statements, and to locate the beneficiary when his whereabouts are unknown. Disclosures are also made to State Welfare Departments pursuant to agreements with the Social Security Administration for administration of State supplementation payments. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components, or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manilla folder.

Retrievability: The Quality Assurance Casefiles can be retrieved if social security number, name, and address are known.

Safeguards: The casefiles are stored in the Quality Assurance Field Offices that have jurisdictional responsibility for the review of the selected SSI sample case either in locked cabinets and/or locked rooms or in space serviced by GSA guards.

Retention and disposal: The Quality Assurance Casefile is retained 18 months after the month the case was selected for QA sample case review.

System manager(s) and address:

Director
Office of Quality Assurance
Office of Management and Administration
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: Requests may be forwarded to the Program Review Officers (See Appendix D-3). An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information in the Supplemental Security Income Quality Assurance System is furnished by applicants for and beneficiaries of Supplemental Security Income, representative payees of such individuals (where appropriate), Social Security Administration offices, and other Federal and State agencies, and (with prior written permission of the applicant or beneficiary) from private sources, such as banks, landlords, etc.

Systems exempted from certain provisions of the act: None.

09-60-0043

System name: Daily Record of Certified Benefits HEW SSA OPO.

Security classification: None.

System location:

Bureau of Disability Insurance
Baltimore, Maryland 21241

Categories of individuals covered by the system: Social security disability insurance and black lung beneficiaries.

Categories of records in the system: The name and address of the beneficiary(s) or the name and address of the representative payee, the social security number of the beneficiary or the individual on whose earnings record, benefits are being paid, the beneficiary identification code, the monthly benefits amount, and the amount of accrued benefits being certified via a monthly updated tape for immediate payment.

Authority for maintenance of the system: Section 223 of the Social Security Act (42 U.S.C. 423), and 5 U.S.C. 301, 30 U.S.C. 921.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Records are maintained daily of all benefit amounts authorized for payment and forwarded monthly to United States Treasury Department for issuance of the benefit checks. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity, (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components, or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Magnetic tapes.

Retrievability: Access is by use of the social security number.

Safeguards: Only authorized personnel having a need for this information in the performance of their official duties have access to this data under stringent security measures involving guards, identity cards and photographs, etc.

Retention and disposal: A duplicate of the data that is transmitted to the Treasury Department is maintained on a tape file under security measures and then transferred to a Federal record center for permanent storage.

System manager(s) and address:

Director
Bureau of Disability Insurance
Baltimore, Maryland 21241

Notification procedure: Contact the systems manager, and furnish social security number, name, approximate data and place claim was filed, type of claim (disability, black lung, supplemental security income) and return address.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Part of the information is derived from the individual and part from the computation of the benefit formula.

Systems exempted from certain provisions of the act: None.

09-60-0044

System name: Initial and Continuing Disability Determination File HEW SSA OPO.

Security classification: None.

System location: Each Disability Determination Services office. The name and address for each State is shown in Appendix B.

Categories of individuals covered by the system: Applicants for disability insurance and black lung benefits and applicants for Supplemental Security Income alleging a disability on whom the Disability Determination Services had made an initial determination and all such beneficiaries on whom the Disability Determination Service has made a determination of continuance (or noncontinuance) of disability.

Categories of records in the system: Name and social security number of wage earner, claimant's name and address, sex, date of birth, race, marital status, number of children (if applicable), alleged onset date of disability, diagnosis, beginning and ending of prescribed period of disability, quarters of coverage under Social Security Act, basis for determination, vocational background information, number of years in occupation, education level, reexamination date (if applicable), and date of application. Also, name and title of persons making or reviewing the determination, and certain administrative data. These records are snap-out type forms having multiple carbon copies. One of these copies, designated as the 'State Agency Copy' is retained by the Disability Determination Service (formerly known as State agencies).

Authority for maintenance of the system: 5 U.S.C. 301, 30 U.S.C. 923(b) Sections 221, 1633, or 1634 of the Social Security Act, and 42 U.S.C. 421, 1833, 1834 under which each State may enter into an agreement with the Secretary of Health, Education, and Welfare to make determinations as to disability with respect to individuals within that State.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine uses for disclosure may be to:

a. Disability Determination Services claims personnel after the claims file itself has left the possession of the Disability determination Service, for responding to subsequent inquiries from the claimant, a treating physician, or a component of the Social Security Administration.

b. State vocational Rehabilitation agency or State crippled children's service agency (or another agency providing services to disabled children) for the consideration of rehabilitation services per 42 U.S.C. 422 and 1382d.

c. State audit agencies utilizing this information for verifying proper expenditure of Federal funds by the State in support of the Disability Determination Service (DDS).

d. Veterans Administration of information requested for purposes of determinin eligibility for or amount of VA benefits, or verifying other information with respect thereto.

e. Railroad Retirement Board for administering the Railroad Unemployment Contributions Act.

f. Congressional offices from the record of an individual response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected. In response to legal process of interrogatories relating to the enforcement of an individual's child support or alimony obligations, as required by sections 459 and 461 of the Social Security Act.

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

Storage: Carbon copies of Forms SSA-831 and SSA-833 are maintained in sectionalized files.

Retrievability: Filed by social security number or alphabetically by the claimant or beneficiary's name depending on Disability Determination Service preference.

Safeguards: Accessible only to Disability Determination Service personnel and subject to the restrictions on disclosures under 5 U.S.C. 552(b)(6), 21 U.S.C. 1175, 42 U.S.C. 1306.

Retention and disposal: May vary from State to State according to the preference, but generally each State destroys its files over a period varying from 6 months to 36 months unless held in an inactive storage under security measures for a longer period.

System manager(s) and address: Assistant Regional Commissioner, Disability Insurance, at the address shown in Appendix B, Federal Register, September 20, 1976, page 41049.

Notification procedure: Disability Determination Services Administrator, Disability Determination Services, c/o State in which the individual resides and/or information is likely to be maintained. See Appendix B, Federal Register, September 20, 1976, page 41049. Requester should furnish identifying information: name, social security number, address An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: These records summarize information contained in the file Folder, which was obtained from the individual or someone acting on the individual's behalf and from the individual's physician, or a physician performing a consultative examination or from hospitals and other treatment sources.

Systems exempted from certain provisions of the act: None.

09-60-0045

System name: Black Lung Payment System HEW SSA OPO.

Security classification: None.

System location:

Bureau of Data Processing
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: All black lung beneficiaries currently entitled to receive a black lung benefit and beneficiaries terminated because of a termination event as defined in the Federal Coal Mine Health and Safety Act.

Categories of records in the system: The Black Lung Master Records consist of a payment master record and a benefit master record which are matched once a month. The payment master record reflects the social security number and the payment identification code under which black lung benefits are awarded and payment data such as the monthly payment amount, the scheduled payment amount, offset information, the number of beneficiaries on the account as well as the number of beneficiaries in the payment, the month of accrual, the month of debit, credit information, future month of adjustment diary dates, cross-reference information, payee name and address information, direct deposit data, and statistical information. The benefit master record contains a benefit record for each beneficiary on the account which includes the social security number, the payment and benefit identification codes, the payment status, the monthly benefit amount, the beneficiary's name, type of benefit, data of birth, race, sex, offset information, credit information, date of filing, date of entitlement, representative payee information, and statistical information.

Only the latest action taken is reflected on these records. The records may be in the following form: Payment Master Record Computer File; Benefit Master Record Computer File; Treasury Payment Tape File; Microfiche Files; Payment Reference Listing; Benefit Reference Listing.

Authority for maintenance of the system: Sections 413 and 415 of Part IV of the Federal Coal Mine Health and Safety Act (Black Lung).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The data on the Black Lung Master Records is used by social security employees for responding to inquiries, computer exception processing, conversion of benefits, end of the month reconciliations, statistical studies to generate payment tapes for Treasury, and for exchanges with the Department of Labor for administering provisions of Title IV of the Black Lung Act. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Magnetic tape, paper.

Retrievability: By social security number.

Safeguards: Magnetic tape is protected through standard security measures used for all Social Security Administration computer records. Paper records are subject to the same safeguards as all other information in the Social Security Administration relating to claims and beneficiary records.

Retention and disposal: Magnetic tape records are retained up to 90 days. Paper records are usually destroyed after use, except where needed for documentation of the claims folder.

System manager(s) and address:

Director

Bureau of Disability Insurance
Baltimore, Maryland 21241

Notification procedure: Contact the systems manager, and furnish social security number, name, approximate date and place claim was filed, type of claim (disability, black lung, supplemental security income) and return address.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: The information for the Black Lung Master Records is furnished by the beneficiary at the time of filing for benefits via the application form and necessary proofs and during the period of entitlement when notices of events such as changes of address, work, marriage, etc., are given to the Social Security Administration by the beneficiary. This information is prepared for input to this system from the Black Lung claims folders.

Systems exempted from certain provisions of the act: None.

09-60-0046

System name: Consultative Physician File HEW SSA OPO.

Security classification: None.

System location: Offices of the Disability Determination Services (DDS) of each State that may currently maintain this type of file. The names and addresses of each DDS are in Appendix B.

Categories of individuals covered by the system: Physicians who have expressed a willingness to conduct consultative examinations for the DDS and, in some instances, other physicians with whom the DDS has contact. The latter are usually treating physicians.

Categories of records in the system: Information relative to a physician's speciality, past experience with him as to the promptness with which he submits reports, general thoroughness of his reports, etc., as well as perhaps comments on the physician's own preferences (such as appointment hours, etc.).

Authority for maintenance of the system: 5 U.S.C. 301, 30 U.S.C. 923(b), Sections 221, 1633, and 1634 of the Social Security Act under which each State may enter into an agreement with the Secretary of Health, Education, and Welfare to make determinations as to disability with respect to individuals within that State.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity, (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components, or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Each DDS Maintains its own records and the method of storage may vary from State to State. Generally, the information is on a file card maintained in a standard card file cabinet.

Retrievability: Records are filed alphabetically and are retrieved manually by authorized personnel. DDS personnel utilize this information when considering the need for additional medical evidence in claims under Titles II and XVI of the Social Security Act or Title IV of the Federal Coal Miners Health and Safety Act.

Safeguards: Only authorized Disability Determination Services personnel have access to these records. Personal information other than the name of the physician is subject to the disclosure restrictions of 5 U.S.C. 552(b)(6), 21 U.S.C. 1175, and 42 U.S.C. 1306.

Retention and disposal: Disability Determination Services policy as to retention and disposal varies from State to State, but generally the file is purged upon death, retirement, or relocation of the physician.

System manager(s) and address: Assistant Regional Commissioner Disability Insurance at the address shown in Appendix B.

Notification procedure: Inquiries and requests by individuals should be addressed to:

Disability Determination Services Administrator
Disability Determination Services
C/O State in which the individual resides and/or
information is likely to be maintained

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Most information is obtained directly from the physician. Observations of Disability Determination Services personnel about the physician, such as a doctor's general promptness in filing reports, may occasionally be found in a physician's file.

Systems exempted from certain provisions of the act: None.

09-60-0047

System name: Critical Case Processing Time HEW SSA OPO.

Security classification: None.

System location:

Office of Data Development
Office of Management and Administration
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: Social security disability beneficiaries or claimants whose application for disability benefits is pending.

Categories of records in the system: Social security numbers of claimants and dates requests were received and processed.

Authority for maintenance of the system: Section 221 of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity, (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components, or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Magnetic tapes.

Retrievability: Access is by use of the social security number. Records used monthly to prepare processing time reports.

Safeguards: Only authorized personnel having a need for this information in the performance of their official duties have access to this data under stringent security measures involving guards, identity cards and photographs, etc.

Retention and disposal: Tapes are maintained until the decision is made at which time the record is erased.

System manager(s) and address:

Director
Bureau of Disability Insurance
Baltimore, Maryland 21241

Notification procedure: Contact the systems manager, and furnish social security number, name, approximate date and place claim was filed, type of claim (disability, black lung, supplemental security income) and return address.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.)

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.)

Record source categories: Records are prepared from control sheets showing date of requests, date request was processed and type of request.

Systems exempted from certain provisions of the act: None.

09-60-0049

System name: Disability Data Record HEW SSA OPO.

Security classification: None.

System location:

Office of Data Development
Office of Management and Administration
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: Social security disability beneficiaries or claimants whose application for a disability benefit has been allowed or denied.

Categories of records in the system: Social security numbers of the claimant and other demographic and statistical information relating to the disability decision.

Authority for maintenance of the system: Section 221 of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosures are made to the Energy Resources Development Administration for their study of the long term effects of low-level radiation exposure. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity, (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components, or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Magnetic tapes.

Retrievability: Access is by use of the social security number. This tape is used for various special studies.

Safeguards: Only authorized personnel having a need for this information in the performance of their official duties have access to this data under stringent security measures involving guards, identity cards and photographs, etc. For computerized records, electronically transmitted between Central Office and field office locations (including organizations administering SSA programs under contractual agreements), systems securities are established in accordance with Departmental standards and National Bureau of Standards guidelines. Safeguards include a lock/unlock password system, exclusive use of leased telephone lines, a terminal oriented transaction matrix, and an audit trail.

Retention and disposal: Tapes are maintained indefinitely.

System manager(s) and address:

Director
Bureau of Disability Insurance
Baltimore, Maryland 21241

Notification procedure: Contact the systems manager, and furnish social security number, name, approximate date and place claim was filed, type of claim (disability, black lung, supplemental security income) and return address. An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.)

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.)

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: The record contains data taken from the claim folder Determination and Transmittal which summarizes information contained in the which was obtained from the individual or someone acting on the individual's behalf.

Systems exempted from certain provisions of the act: None.

09-60-0050

System name: Completed Determination Record - Continuing Disability Determinations HEW SSA OPO.

Security classification: None.

System location:

Office of Data Development
Office of Management and Administration
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: Allowed disability claimants on which a continuing disability issue has occurred and a decision of continuance or cessation has been approved.

Categories of records in the system: Name and social security number of the individual and other data such as date of birth, District and State Agency Code, date disability began, type of claim, reasons for reopening, continuance or cessation code, date of termination (if applicable), date of completion, etc.

Authority for maintenance of the system: Section 221 of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components, or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Magnetic tapes.

Retrievability: Access is by use of the social security number. Used primarily to record the result of continuing disability investigations.

Safeguards: Only authothized personnel having a need for this information in the performance of their official duties have access to this data under stringent security measures involving guards, identity cards, and photographs, etc.

Retention and disposal: Tapes are maintained indefinitely.

System manager(s) and address:

Director
Bureau of Disability Insurance

Baltimore, Maryland 21241

Notification procedure: Contact the systems manager, and furnish social security number, name, approximate date and place claim was filed, type of claim (disability, black lung, supplemental security income) and return address. An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411).

Record source categories: These records summarize information contained in the claims folder which was obtained from the individual or someone acting on the individual's behalf and from this individual's physician, or a physician performing a consultative examination or from hospitals and other treatment sources.

Systems exempted from certain provisions of the act: None.

09-60-0051

System name: Administrative Disallowance Records for Technical Denials HEW SSA OPO.

Security classification: None.

System location:

Office of Data Development
Office of Management and Administration
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: Any disability applicant whose claim has been disallowed for technical reasons, generally for failure to meet the insured status provisions at any time.

Categories of records in the system: The name and social security number of the claimant together with other pertinent data such as district office code, disallowance code, date claim filed, disallowance notice number and date processed.

Authority for maintenance of the system: Section 205(a) of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Magnetic tapes.

Retrievability: Access is by use of the social security number. The record serves as a statistical and workload accounting source for disability decisions on applicants who never met or do not meet the insured status provisions in relation to the date disability began.

Safeguards: Only authorized personnel having a need for this information in the performance of their official duties have access to this data under stringent security measures involving guards, identity cards and photographs, etc.

Retention and disposal: Tapes are retained indefinitely.

System manager(s) and address:

Director
Bureau of Disability Insurance
Baltimore, Maryland 21241

Notification procedure: Contact the systems manager, and furnish social security number, name, approximate date and place claim was filed, type of claim (disability, black lung, supplemental security income) and return address.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411).

Record source categories: The information for this record is taken from Form SSA-201B, Determination of Disallowance - Disability Claim which is completed by a Social Security Administration employee to document the reason for the determination.

Systems exempted from certain provisions of the act: None.

09-60-0052

System name: Disposition of Vocational Rehabilitation Report to Social Security Administration HEW SSA OPO.

Security classification: None.

System location:

Office of Data Development
Office of Management and Administration
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: Disability claimants accepted for vocational rehabilitation services under the reimbursement provisions and now reported as closed (no longer receiving service).

Categories of records in the system: The name and social security number of the disabled beneficiary together with other statistical information such as type of claim, closure status, date of closure, State vocational rehabilitation code, date of form etc.

Authority for maintenance of the system: Section 222 of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components, or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Magnetic tapes.

Retrievability: Access is by use of the social security number. The record serves as a statistical and accounting source for claimants involved in the vocational rehabilitation reimbursement program. The receipt of notice of closure Form SSA-853 clears the control.

Safeguards: Only authorized personnel having a need for this information in the performance of their official duties have access to this data under stringent security measures involving guards, identity cards and photographs, etc.

Retention and disposal: Tapes are maintained indefinitely.

System manager(s) and address:

Director
Bureau of Disability Insurance

Baltimore, Maryland 21241

Notification procedure: Contact the systems manager, and furnish social security number, name, approximate date and place claim was filed, type of claim (disability, black lung, supplemental security income) and return address. An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: The data is extracted from Forms SSA-853 - Vocational Rehabilitation Report to Social Security Administration which is completed by State offices of vocational rehabilitation.

Systems exempted from certain provisions of the act: None.

09-60-0053

System name: Reimbursement from Trust Fund for Vocational Rehabilitation Services HEW SSA OPO.

Security classification: None.

System location:

Office of Data Development
Office of Management and Administration
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: Disabled claimants referred and undergoing consideration for vocational rehabilitation services, costs of such services to be reimbursed from social security trust or general funds providing a beneficiary status exists.

Categories of records in the system: The name and social security number of the claimant as well as vocational rehabilitation state and district office code, type of claim, amount of benefit (at time of referral), date of request for status.

Authority for maintenance of the system: Sections 222 and 1615 of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components, or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Magnetic tapes.

Retrievability: Access is by use of the social security number. Serves as a control and monitor of vocational rehabilitation referral activity in the disability program in order to validate the use of trust funds and general funds expended for services rendered.

Safeguards: Only authorized personnel having a need for this information in the performance of their official duties have access to this data under stringent security measures involving guards, identity cards and photographs, etc.

Retention and disposal: Records are destroyed upon notification of closure from the State agency or upon expiration of five years from date record was created, whichever occurs first.

System manager(s) and address:

Director
Bureau of Disability Insurance
Baltimore, Maryland 21241

Notification procedure: Contact the systems manager, and furnish social security number, name, approximate date and place claim was filed, type of claim (disability, black lung, supplemental security income) and return address.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: The basic record is prepared as the result of a written or teletyped request for benefit status from the State agency. Additional information is secured from the master beneficiary record and the supplementary security record files.

Systems exempted from certain provisions of the act: None.

09-60-0055

System name: Lag Period Between Initial Denial Notice and Reconsideration Study HEW SSA OPO.

Security classification: None.

System location:

Office of Data Development
Office of Management and Administration
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: Social security disability beneficiaries or claimants.

Categories of records in the system: Social security numbers of the claimant, State agency code, month -year of processing, request code.

Authority for maintenance of the system: Section 221 of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Magnetic tapes.

Retrievability: Access is by use of the social security number.

Safeguards: Only authorized personnel having a need for this information in the performance of their official duties have access to this data under stringent security measures involving guards, identity cards and photographs, etc.

Retention and disposal: Tapes are maintained indefinitely.

System manager(s) and address:

Director
Bureau of Disability Insurance
Baltimore, Maryland 21241

Notification procedure: Contact the systems manager, and furnish social security number, name, approximate date and place claim

was filed, type of claim (disability, black lung, supplemental security income) and return address.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: The data is extracted from the individual's claim record.

Systems exempted from certain provisions of the act: None.

09-60-0056

System name: Vocational Rehabilitation Savings Calculation HEW SSA OPO.

Security classification: None.

System location:

Office of Data Development
Office of Management and Administration
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: Disability beneficiaries reported by State vocational rehabilitation agency as no longer receiving vocational rehabilitation service.

Categories of records in the system: The name and social security number of the beneficiary and identifying information about the notice of disclosure, the date of termination or reduction in benefits, if any, amount of benefit, amount of savings and other miscellaneous data.

Authority for maintenance of the system: Section 222 of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

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

Storage: Magnetic tapes.

Retrievability: Access is by use of the social security number. The record serves primarily as a source for furnishing statistical and benefit information on the vocational rehabilitation reimbursement program.

Safeguards: Only authorized personnel having a need for this information in the performance of their official duties have access to this data under stringent security measures involving guards, identity cards and photographs, etc.

Retention and disposal: Tapes are maintained indefinitely.

System manager(s) and address:

Director
Bureau of Disability Insurance
Baltimore, Maryland 21241

Notification procedure: Contact the systems manager, and furnish social security number, name, approximate date and place claim was filed, type of claim (disability, black lung, supplemental security income) and return address.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: The information is extracted and compiled from the vocational rehabilitation closure report, the master beneficiary record and the summary earnings record.

Systems exempted from certain provisions of the act: None.

09-60-0057

System name: Quality Evaluation Data Records HEW/SSA OPO.

Security classification: None.

System location: Bureau of Disability Insurance, Baltimore, Maryland 21241

Categories of individuals covered by the system: Individuals who have filed application for Social Security Disability Benefits and/or Supplementary Security Income Benefits.

Categories of records in the system: Social security numbers of claimants, demographic, diagnostic, and other types of data generated as a result of a review of the State actions on the claim.

Authority for maintenance of the system: Section 221 of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity, (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components, or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: The system consists of tape, paper, disk, and card records.

Retrievability: The records are maintained in SSN sequence. Records are used to report monthly results of the review of the state disability determination process.

Safeguards: Records are subject to the same rules and safeguards as all other information in SSA relating to claims and beneficiary records (See Appendix J).

Retention and disposal: The records are maintained for a period of 18 months and then destroyed.

System manager(s) and address:

Director
Bureau of Disability Insurance
Baltimore, Maryland 21241

Notification procedure: Contact the systems manager in writing and furnish social security number, name, approximate date, place claim was filed, type of claim (disability or supplemental security income) and return address. An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Records are prepared from Form SSA 3094 and show decision, diagnosis and other information.

Systems exempted from certain provisions of the act: None.

09-60-0058

System name: Master files of Social Security Number Holders HEW SSA OPO.

Security classification: None.

System location:

Bureau of Data Processing
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: All individuals who have obtained social security numbers.

Categories of records in the system: This system contains all of the information received on original applications for social security numbers and any changes in the information on the applications that are submitted by the social security number holder. Cross-reference may be noted where multiple numbers have been issued to the same individual, an indication that benefit claim has been made under this social security number.

Authority for maintenance of the system: Section 205(a) of the Social Security Act. Section 205(c) (2) of the Social Security Act.

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

1. Employers are notified of the social security number of an employee in order to complete their records for reporting FICA to the Social Security Administration pursuant to the Federal Insurance Contributions Act and Section 218 of the Social Security Act.
2. State welfare agencies are notified on written request, of the social security numbers of AFDC applicants or recipients.
3. The Department of Justice (Federal Bureau of Investigation and United States Attorneys) for investigating and prosecuting violations of the Social Security Act.
4. The Department of Justice (Immigration and Naturalization Service) for the identification and location of aliens.
5. The Department of Justice (Federal Bureau of Investigation) and the Department of Treasury (United States Secret Service) for national security matters and in connection with threats on the life of the President or other dignitaries.
6. The Railroad Retirement Board for administering provisions of the Railroad Retirement and Social Security Acts relating to railroad employment and for administering the railroad Unemployment Insurance Act.
7. Energy Resources Development Administration for their study of the long-term effects of low-level radiation exposure.
8. The Treasury Department for a. collection of social security taxes; b. for verification of taxpayers' identification number, c. for administering or identifying violations of the Social Security Act, the Federal Insurance Contributions Act, the Self-Employment Contributions Act, the Federal Unemployment Tax Act; d. for administering or investigating violations of any Federal income tax law, and e. for investigating alleged theft, forgery, or unlawful negotiation of social security checks.
9. Contractors under contract to the SSA for the ongoing conversion of paper documents to machine readable form for entry into magnetic tape files.
10. A congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
11. The Department of State and the VA Regional Office, Philippines for administering provisions of the Social Security Act in foreign countries.
12. The Department of Labor for administering provisions of title IV of the Federal Coal Mine Health and Safety Act and for studies of the effectiveness of training programs to combat poverty.
13. The Veterans Administration for validation of the social security numbers of compensation/pensioners in order to provide the release of accurate pension/compensation data by the Veterans Administration to the Social Security Administration for social security program purposes.
14. The Veterans Administration of information requested for purposes of determining eligibility for or amount of VA benefits, or verifying other information with respect thereto.
15. Federal agencies who use the Social Security number as a numerical identifier in their recordkeeping systems, for the purpose of validating social security numbers. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Records in this system are maintained as paper forms, paper lists, punchcards, magnetic tape, microfilm, and microfiche files.

Retrievability: Records in this system are indexed both by social security number and by name. This information is used for the following purposes: by Social Security Administration as basic control for retained earnings information; by Social Security Administration as a basic control and data source to prevent issuance of multiple social security numbers; as the means to correctly identify incorrectly reported names or social security numbers on earnings reports; for resolution of earnings discrepancy cases; for statistical studies; by Health, Education, and Welfare Audit Agency for auditing benefit payments under social security programs; by Social and Rehabilitation Service (HEW) for locating deserting parents; by National Institute of Occupational Safety and Health for epidemiological research studies required by the Occupational Health and Safety Act of 1974; by Social and Rehabilitation Service (HEW) for administering Cuban refugee assistance payments.

Safeguards: All magnetic tapes are within an enclosure attended by security guards. Anyone entering or leaving this enclosure must have special badges issued only to authorized personnel. All microfilm, microfiche, and paper files are accessible only by authorized personnel who have a need to know. For computerized records, electronically transmitted between Central Office and field office locations (including organizations administering SSA programs under contractual agreements), systems securities are established in accordance with Departmental standards and National Bureau of Standards guidelines. Safeguards include a lock/unlock password system, exclusive use of leased telephone lines, a terminal oriented transaction matrix, and an audit trail.

Retention and disposal: All paper forms are retained until they are filmed or are entered on tape and the accuracy verified, then they are destroyed by shredding. All tape, microfilm, microfiche files are updated periodically. The out-of-date magnetic tapes are erased. The out-of-date microfiche is shredded by the application of heat.

System manager(s) and address:

Director
Bureau of Data Processing
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: An individual may present a request for information as to whether this system contains records pertaining to himself by providing his name and social security number; or if the social security number is not known, date of birth, place of birth, mother's maiden name and father's name, and evidence of identity to the Assistant Bureau Director, Systems, Bureau of Data Processing, 6401 Security Boulevard, Baltimore, Maryland 21235.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.)

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.)

Record source categories: Social security number applicants or individual acting on their behalf. The social security number itself is assigned to the individual as a result of internal processes of this system.

Systems exempted from certain provisions of the act: None.

09-60-0059

System name: Earnings Recording and Self-Employment Income System, HEW, SSA, OPO.

Security classification: None.

System location:

Bureau of Data Processing
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: Any person who has been issued a social security number and who may or may not have earnings under social security or self-employment income.

Categories of records in the system: This contains records of all social security number holders, their name, date of birth, sex, race, a summary of their yearly earnings, quarters of coverage, special employment codes (i.e., self-employment, military, agriculture, and railroad), benefit status and employer identification.

Authority for maintenance of the system: Section 205(a) of the Social Security Act and section 205(c)(2) of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Employers or former employers, including State social security administrators for correcting and reconstructing State employee earnings records and for social security tax purposes, the Treasury Department a. for collection of social security taxes, b. for verification of taxpayers' identification numbers, c. for administering or identifying violations of the Social Security Act, the Federal Insurance Contributions Act, the Self-Employment Contributions Act, and the Federal Unemployment Tax Act, d. for administering or investigating violations of any Federal income tax law; e. for investigating alleged theft, forgery, or unlawful negotiation of social security checks; and f. for Office of Tax Analysis studies of the effects of income taxes and taxes of earnings, the Railroad Retirement Board for administering provisions of the Railroad Retirement and Social Security Acts relating to railroad employment and for administering the Railroad Unemployment Insurance Act, the Department of Justice (Federal Bureau of Investigation and United States Attorneys) for investigating and prosecuting violations of the Social Security Act, the Department of Justice (Immigration and Naturalization Service) for the identification and location of aliens; The Department of Justice (Federal Bureau of Investigation) and the Department of Treasury United States Secret Service) for national security matters and in connection with threats on the life of the President or other dignitaries; State Departments of Public Welfare for quality control studies of grants-in-aid recipients; Energy Research and Development Administration for their study of the long-term effects of low-level radiation exposure; the Department of Labor for administering provisions of Title IV of the Federal Coal Mine Health and Safety Act and for studies of the effectiveness of training programs to combat poverty, a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. The Department of State and the VA Regional Office Philippines for administering provisions of the Social Security Act in foreign countries through facilities and services of those agencies. The Veterans Administration for validation of the social security numbers of compensation/pensioners in order to provide the release of accurate pension/compensation data by the Veterans Administration for social security program purposes. The Veterans Administration of information requested for purposes of determining eligibility for or amount of VA benefits or verifying other information with respect thereto. State Audit agencies for auditing State supplementation payments and Medicaid eligibility considerations. The Department of Labor for Statistical studies of the relationship of private pensions and social security benefits to prior earnings. The Civil Service Commission for the study of the relationship of civil service annuities to minimum social security benefits, and the effects on the trust fund. Federal agencies who use the social security number as a numerical identifier in their recordkeeping systems, for the purpose of validating social security numbers. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected. In response to legal process or interrogatories relating to the enforcement of an individual's child support or alimony obligations, as required by sections 459 and 461 of the Social Security Act.

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

Storage: Records in this system are maintained as paper forms, paper lists, punchcards, microfilm and magnetic tape files.

Retrievability: Records in this system are indexed by social security number and name. This information is used for the following purposes: As a primary working record file of all social security number holders, as a quarterly earnings record detail file to provide full data in wage investigation cases, to provide information for determining amount of benefits, to record all incorrect or incomplete earnings items, to reinstate incorrectly or incompletely reported earnings items, to record the latest employer of a wage earner; for statistical studies, for identification of possible overpayments of benefits, for identification of individuals entitled to additional benefits, provide information to employers and former employers for correcting or reconstructing earnings records and for social security tax purposes, workers and self-employed individuals in the form of earnings statements or quarters of coverage statements, provide information for locating deserting parents. To provide information to Health, Education and Welfare Audit Agency for auditing benefit payments under Social Security programs, to provide information to National Institute for Occupational Safety and Health research studies required by the Occupational Health and Safety Act of 1974.

Safeguards: All magnetic tapes are within an enclosure attended by security guards. Anyone entering or leaving this enclosure must have special badges which are issued only to authorized personnel. All microfilm and paper files are accessible only by authorized personnel with a need to know. For computerized records, electronically transmitted between Central Office and field office locations (including organizations administering SSA programs under contractual agreements), systems securities are established in accordance with Departmental standards and National Bureau of Standards guidelines. Safeguards include a lock/unlock password system, exclusive use of leased telephone lines, a terminal oriented transaction matrix, and an audit trail.

Retention and disposal: All paper forms and cards are retained until they are filmed or are entered on tape and the accuracy verified, then they are destroyed by shredding. All tapes and microfilm files are updated periodically. The out of date magnetic tapes are erased. The out of date microfilm is shredded.

System manager(s) and address:

Director
Bureau of Data Processing
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: Any individual may present a request for information as to whether this system contains records pertaining to himself by providing his social security number, name, signature, or other personal identification and referring to this system to Assistant Bureau Director, Systems, Bureau of Data Processing, 6401 Security Boulevard, Baltimore, Maryland 21235.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Social security number applicants, employers, self-employed individuals, Department of Justice (Immigration and Naturalization Service), Department of Treasury (Internal Revenue Service) master beneficiary record of Social Security Administration.

Systems exempted from certain provisions of the act: None.

09-60-0060

System name: Correspondence File of the Bureau of Data Processing HEW SSA OPO.

Security classification: None.

System location:

Bureau of Data Processing
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: Any individual requesting, reporting, or changing earnings information and/or inquiring about some aspect of the Social Security Act.

Categories of records in the system:

1. Correspondence received from individual, as well as copies of the
replies to the correspondence concerning:
(a) general questions about the Social Security Act and/or
(b) adjustments of earnings, based on either the incoming correspondence or
internal checks of the earnings record.
2. Minister waiver forms, i.e., forms filed by the clergy for the election
or waiver of coverage under the Act.
3. Notices of deportation.

Authority for maintenance of the system: Title II, Section 205(c)(2) of the Social Security Act; Federal Records Act of 1950 (64 stat. 583).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manila Folders on open shelving.

Retrievability: Alphabetical, Employer Identification Number and Social Security Number. Reference file used to: (a) assist Social Security Administration correspondents in preparing replies to subsequent inquiries; (b) house minister waiver forms thus preventing an erroneous payment of social security benefits; (c) house notices of deportation.

Safeguards: Only authorized personnel are permitted access to the files.

Retention and disposal: a. Records are maintained for periods of 1 year, 4 years or indefinitely as follows: Permanent Retention--All material which will affect the future development of claims, copies of coverage, wage and self-employment income determinations; proof documents and deportation notices. Four Years Retention--Correspondence and evidence upon which coverage, wage and self-employment income determinations are based; correspondence which must be held until statute of limitations has run. One Year Retention--General correspondence regarding returning documents to individuals, denial of confidential information, release of confidential information to a third party based on authorization and undeliverable material. b. Records are destroyed by shredding.

System manager(s) and address:

Director
Bureau of Data Processing
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: Assistant Bureau Director, Systems, BDP 6401 Security Boulevard, Baltimore Maryland 21235 Individual should provide the Social Security Administration with their full name and social security number and return address and refer to this system when requesting information.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Correspondence received from individuals, as well as copies of our replies to this correspondence. Also correspondence generated as a result of Social Security Administration internal checks of the earnings records.

Systems exempted from certain provisions of the act: None.

09-60-0061

System name: Record of Earnings Information Furnished for Non-Program Purposes HEW SSA OPO.

Security classification: None.

System location:

Bureau of Data Processing
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: Any individual or his survivor, or the legal representative of the individual or his estate, requesting earnings information for a non-program purpose.

Categories of records in the system: 1. Correspondence and/or related documents as well as copies of replies to the correspondence concerning earnings information from an individual's record. 2. Annotated index cards indicating individual case disposition.

Authority for maintenance of the system: Section 205 of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manila Folders and Index Card File.

Retrievability: Index Card - Alphabetical; Manila Folders - Quarterly, by Social Security Number.

Safeguards: Only authorized personnel are permitted access to the files.

Retention and disposal: No specific authority. Records are maintained as a working file for a period of three to six months or until final action has been taken on the request, and then destroyed.

System manager(s) and address:

Director
Bureau of Data Processing
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: a. Assistant Bureau Director (Systems), Bureau of Data Processing, 6401 Security Boulevard, Baltimore, Maryland 21235.

b. Individual should provide the Social Security Administration with his full name and social security number when obtaining information from the system.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Correspondence received from individuals or their legal representatives, and copies of subsequent replies to this correspondence.

Systems exempted from certain provisions of the act: None.

09-60-0063

System name: Total Resources and Information Management (TRIM) System of Assistant Bureau Director Systems HEW SSA OPO

Security classification: None.

System location:

Bureau of Data Processing
6401 Security Boulevard
Baltimore Maryland 21235

Categories of individuals covered by the system: All Employees of Assistant Bureau Director Systems.

Categories of records in the system: All systems employees by clerk number developmental project plans subdivided into tasks; task records include clerk number of the responsible employee (not all employees are assigned this type of work); operational project plans subdivided into tasks records which usually include clerk number of project manager, administrative functions (or projects) subdivided into task records do not include any clerk numbers; all employees by clerk numbers which are only used for printing names and reports.

Authority for maintenance of the system: Section 702 of the Social Security Act (42 USC Sec. 902).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Magnetic tape.

Retrievability: Programs permit retrieval of information by many parameters including clerk number. The system is used to plan and control work within the organization. In support of this function it prepares lists of current work assignments for employees and supervisors in due date order. Information is extracted each week and furnished to employees assigned to developmental work. Regular progress reports each week by project leader are basis for updating and/or correcting information.

Safeguards: Information distributed only to employee and supervisor.

Retention and disposal: Records are accessible only when active. After that time they are retained on magnetic tape in non-retrievable format for one year.

System manager(s) and address:

Assistant Bureau Director
Systems, Bureau of Data Processing
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: An individual may contact the Chief, TRIM Staff, Systems, 6401 Security Boulevard, Baltimore, Maryland 21235, providing his name and clerk number.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information is obtained from the individual or internal systems managers.

Systems exempted from certain provisions of the act: None.

09-60-0064

System name: Pending Social Security Number Applications HEW SSA OPO.

Security classification: None.

System location: District and branch office (see Appendix F, Federal Register, September 20, 1976, Page 41062).

Categories of individuals covered by the system: Individuals requesting social security numbers and replacement cards for lost social security numbers.

Categories of records in the system: Photocopy of SS-5 (Application for Social Security Number) or roster containing individual's name, social security number. Also contains the name and telephone number of the third party (employer, bank, welfare agency) to whom the individual has requested his correct social security number be furnished. Not all offices maintain this record. Some annotate the SS-5 with the name of the third party to be contacted on the reverse side.

Authority for maintenance of the system: Section 205(a) of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components, or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: May be photocopy of SS-5 or roster with third party's name and telephone number.

Retrievability: By name and social security number.

Safeguards: Usually available on a need to know basis.

Retention and disposal: Photocopy or roster is destroyed when the third parties are notified.

System manager(s) and address:

Assistant Regional Commissioner, Field Operations
(See Appendix F).

Notification procedure: District or branch manager (see Appendix F).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Applicant.

Systems exempted from certain provisions of the act: None.

09-60-0065

System name: Direct Input Source Documents HEW SSA OPO.

Security classification: None.

System location: District and branch office (see Appendix F, Federal Register, September 20, 1976, page 41062).

Categories of individuals covered by the system: Beneficiaries and applicants for retirement, survivors, or disability social security benefits, or health insurance benefits.

Categories of records in the system: Notices of death, annual report of earnings, change in marital status, address or student status, etc.

Authority for maintenance of the system: Section 205(a) of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Documents are stored in file cabinets.

Retrievability: By name and social security number. Information from notices is transmitted by wire to central file to make changes that affect benefits of the individual. Source documents are retained in the district office 3 - 7 months.

Safeguards: Usually available only to people on a need to know basis.

Retention and disposal: Documents are retained 3 - 7 months and then destroyed.

System manager(s) and address:

Assistant Regional Commissioner, Field Operations
(See Appendix F).

Notification procedure: District or branch manager (see Appendix F).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Beneficiary.

Systems exempted from certain provisions of the act: None.

09-60-0066

System name: Claims Development Record HEW SSA OPO.

Security classification: None.

System location: District and branch office (see Appendix F, Federal Register, September 20, 1976, page 41062).

Categories of individuals covered by the system: Beneficiary, applicant, and inquirer for the various social security and black lung benefit programs.

Categories of records in the system: The file contains the name, address, and social security number of the individual. It also contains developmental notes concerning the requesting and receipt of documents required for processing a claim for benefits. Benefit amounts and date of entitlement may also be displayed.

Authority for maintenance of the system: Section 205(a) of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: 8 X 10 and a half cards filed in standard file cabinets.

Retrievability: By name and social security number. Used as an interviewing tool, record of clearance of claims, and sometimes as a log of activity pertinent to continued entitlement to benefits.

Safeguards: Usually available to personnel on a need to know basis.

Retention and disposal: Specific destruction dates established depending on whether a claim is allowed or disallowed. Generally maintained for 6 months and then destroyed.

System manager(s) and address:

Assistant Regional Commissioner, Field Operations
(See Appendix F).

Notification procedure: District or branch manager (see Appendix F).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Applicants, inquiries, third parties.

Systems exempted from certain provisions of the act: None.

09-60-0068

System name: Payment Record File of Supplementary Medical (Medicare) Enrollees (Statistics) HEW SSA BHI.

Security classification: None.

System location:

Bureau of Data Processing
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: Supplemental medical (Medicare) enrollees who have met the deductible in any calendar year and have supplemental medical reimbursement, beginning July 1, 1966.

Categories of records in the system: Beneficiary demographic characteristics, physician and supplier billing information, including charges and amount reimbursed; physician characteristics.

Authority for maintenance of the system: Section 1875 of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: All records are stored on magnetic tape.

Retrievability: All records are indexed by health insurance claim number. They are recorded in segments based on month they were processed.

Safeguards: All magnetic tape files are retained in security storage areas accessible only to authorized persons within the Bureau of Data Processing. Data are accessible only to individuals within the Division of Health Insurance Studies. All employees having access to records have been notified of criminal sanctions for unauthorized disclosure of information on individuals.

Retention and disposal: Records are retained with identifiers as long as needed for purposes of program research.

System manager(s) and address:

Director, Bureau of Health Insurance
6401 Security Blvd.
Baltimore, Maryland 21235

Notification procedure: For purposes of access, write to the systems manager; he will require name of system, health insurance claim number, and for verification purposes, name (woman's maiden name, if applicable), social security number, address, date of birth and sex, and to ascertain whether the individual's record is in the system, year Part B deductible was met.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Medicare enrollment; Medicare payment record.

Systems exempted from certain provisions of the act: None.

09-60-0069

System name: Record of Claims (Microfiche) HEW SSA OPO.

Security classification: None.

System location: District and branch offices, teleservice centers, and Reconciliation and Analysis Units (see Appendix F, Federal Register, September 20, 1976, Page 41062).

Categories of individuals covered by the system: Beneficiaries and denied applicants for social security and health insurance benefits, supplemental security income payments.

Categories of records in the system: Certain individual's name, address, social security number, date of birth, payment history, pertinent information concerning entitlement to health insurance benefits, representative payee data, etc.

Authority for maintenance of the system: Sections 205(a) and 1631 of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Microfiche stored in special metal cabinets.

Retrievability: By name and social security number. Used by district, branch, and teleservice center offices to answer inquiries from beneficiaries. These offices and the Reconciliation and Analysis Unit also use it as a guide in development to determine continuing eligibility to benefits.

Safeguards: Cabinets are locked at night. Usually available to personnel only on a need to know basis.

Retention and disposal: New microfiche received every 3 months. Old microfiche destroyed by application of heat.

System manager(s) and address:

Assistant Regional Commissioner, Field Operations
(See Appendix).

Notification procedure: District, branch and teleservice center manager (see Appendix F).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Applicants.

Systems exempted from certain provisions of the act: None.

09-60-0070

System name: Chronic Renal Disease Beneficiary History File HEW SSA BHI.

Security classification: None.

System location:

Bureau of Data Processing
6401 Security Boulevard (magnetic tape)
Baltimore, Maryland 21235
Office of Research and Statistics
1500 Woodlawn Drive (hard copy)
Baltimore, Maryland 21241

Categories of individuals covered by the system: All individuals with identified end-stage renal disease with Medicare coverage.

Categories of records in the system: Health and supplemental medical Medicare billing information, including charges and amounts reimbursed; physician characteristics; demographic data on beneficiaries; medical data.

Authority for maintenance of the system: Section 1875 of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: All records stored on magnetic tape with a hard copy back-up also available.

Retrievability: All records are indexed by social security number.

Safeguards: All magnetic tape files are retained in secure storage areas accessible only to authorized persons within the Bureau of Data Processing. All employees having access to records have been notified of criminal sanctions for unauthorized disclosure of information on individuals. Data are accessible only to individuals within the Division of Health Insurance Studies, and hard copy records are stored in secure areas with access limited to authorized individuals.

Retention and disposal: Records are retained with identifiers as long as needed for purposes of program research.

System manager(s) and address:

Director, Bureau of Health Insurance
6401 Security Blvd.
Baltimore, Maryland 21235

Notification procedure: For purposes of access, write the systems manager; he will require name of system, health insurance claim

number, and for verification purposes, name (woman's maiden name, if applicable), social security number, address, date of birth and sex, and to ascertain whether the individual's record is in the system, date (month and year) on which treatment costs were first reimbursed under Medicare. An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Master beneficiary record; Medicare enrollment records; Medicare bill records. Medicare payment records.

Systems exempted from certain provisions of the act: None.

09-60-0071

System name: Medicare Physician Supplier Master File HEW SSA BHI.

Security classification: None.

System location: Carriers under contract to Social Security Administration. (See Appendix C, Section 4).

Categories of individuals covered by the system: Physicians and suppliers who provide medical services or supplies to Medicare beneficiaries.

Categories of records in the system: A compilation of all charges submitted by a physician or supplier for services and supplies to: (1) derive 'reasonable charge' information; (2) determine economic indexes; and (3) to substantiate the basis for payment to beneficiaries, physicians, suppliers and hospitals.

Authority for maintenance of the system: Sections 1833, 1835, 1842 and 1874 of title XVIII of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Records from this system may be disclosed to a provider, the claimant or a prospective claimant, the name of a physician who has been found ineligible to submit claims under Section 1814(h) (Payment for Posthospital Extended Care Services) or Section 1814(i) (Payment for Posthospital Home Health Services) of Title XVIII of the Social Security Act. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Disclosure may be made to the title XIX State agency or the title XIX fiscal agents of the customary and prevailing charge screens and whatever other information is contained in the file and would be required to determine 'reasonable charges' as required under section 1903(i)(1) of the Social Security Act. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Records are maintained on magnetic tape, microfilm, and hard copy paper.

Retrievability: The records are indexed by physician provider numbers and supplier EIN (employer's identification number). The records are prepared and updated daily by carriers as a basis for determining reasonable charges and area prevailing charges.

Safeguards: Disclosure of records is limited to carrier personnel on a need-to-know basis. The files are closed to unauthorized personnel. The determination as to which personnel are authorized will vary slightly in different carrier installations. All carriers have guards at the building entrance to prevent intrusion by individuals not employees or not having business with the carrier. One or more of the following security measures are used within the building: color coded identification cards are used to establish the right of an employee to be in a specific area, cipher locks are used to protect files and computer areas, magnetic identification cards are used to gain access to security sensitive areas, videomonitoring of sensitive areas is constant.

Retention and disposal: Records are closed out the first quarter following the close of the previous calendar year. Files are retained indefinitely.

System manager(s) and address:

Director, Bureau of Health Insurance
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: Inquiries and requests for records information should be directed to the carrier servicing the physician's or supplier's geographical area. Individuals who want to determine if they have a record in this system must provide their full name and address.

Record access procedures: Same as Notification.

Contesting record procedures: Same as Notification.

Record source categories: Information contained in these records is furnished in part by the individual physician or supplier and in part abstracted from Medicare Part B billing records.

09-60-0073

System name: SSA Health Insurance Program Review Team Case Files HEW SSA BHI.

Security classification: None.

System location:

SSA, BHI, Program Integrity Branch
Baltimore, Maryland 21235
Health Insurance Regional Representative in the HI Regional Offices located in Boston, New York, Philadelphia, Atlanta, Chicago, Dallas, Kansas City, Denver, San Francisco, and Seattle.

Categories of individuals covered by the system: Beneficiaries whose medical treatment in connection with Title XVIII of the Social Security Act (Medicare) is suspected as being unnecessary, harmful, or inferior or whose charges are substantially in excess of customary.

Categories of records in the system: Statements, medical records, payment records, complaints from beneficiaries and others, including correspondence and forms, to document complaints and reports of medical review committees.

Authority for maintenance of the system: Section 205, Title II of the Social Security Act. Section 1106 and 1107, Title XI. Sections 1862 and 1866, Title XVIII.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure to program review teams. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Paper files maintained in locked file cabinets.

Retrievability: Filed alphabetically by last name of subject within region of investigation.

Safeguards: File cabinets are kept locked and are located in a room that is locked after office hours. Access to the files is limited to Program Integrity Staff members.

Retention and disposal: Records are placed in inactive file after final action on the case. The inactive file is closed out at the end of the calendar year in which final action was taken, held 2 additional years, transferred to the Federal Records Center, and destroyed after 3 additional years.

System manager(s) and address:

Director, Bureau of Health Insurance
6401 Security Boulevard,
Baltimore, Maryland 21235

Notification procedure: Inquiries should be directed to SSA, Bureau of Health Insurance Program Integrity Branch, Baltimore, Maryland 21235 An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Complainants, other informants, statements of subject, investigative records, utilization review committee reports, peer review committee reports.

Systems exempted from certain provisions of the act: None.

09-60-0075

System name: Congressional Bills File HEW SSA OPP.

Security classification: None.

System location:

Office of Program Evaluation and Planning
6401 Security Blvd
Baltimore, Maryland 21235

Categories of individuals covered by the system: Members of Congress

Categories of records in the system: Listing of bills to amend the Social Security Act. Includes bill number, sponsor's name, state and party affiliation, date of introduction of bill, and a 3-digit subject code.

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

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure to the public upon request of information contained in the file is mandatory under the Freedom of Information Act. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Computer terminal (magnetic tape), and paper listings.

Retrievability: Bill number, subject matter, name of sponsor.

Safeguards: Information is accessed on a limited need-to-know basis by staff of the Legislative Reference Office.

Retention and disposal: Retained for duration of each Congress. (Listing by subject matter is retained indefinitely.)

System manager(s) and address:

Legislative Reference Officer
Room 400 Altmeyer Building
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: Systems Manager.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Congressional Record.

Systems exempted from certain provisions of the act: None.

09-60-0077

System name: Congressional Inquiry File HEW SSA OPO.

Security classification: None.

System location: District and branch office (see Appendix F, Federal Register, September 20, 1976, page 41062).

Categories of individuals covered by the system: Congressional representative.

Categories of records in the system: Correspondence to and from congressional representative.

Authority for maintenance of the system: Section 205(a) of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components, or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Maintained in manila type folders.

Retrievability: Usually by name in alphabetical order.

Safeguards: Usually available to personnel on a need to know basis.

Retention and disposal: Generally retained for 6 months and may be retained longer

System manager(s) and address:

Assistant Regional Commissioner, Field Operations
(See Appendix F).

Notification procedure: District or branch manager (see Appendix F).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Congressional representative.

Systems exempted from certain provisions of the act: None.

09-60-0078

System name: Public Inquiry Correspondence File HEW SSA OPO.

Security classification: None.

System location: District and branch office (see Appendix F, Federal Register September 20, 1976, page 41062).

Categories of individuals covered by the system: General public.

Categories of records in the system: Inquiries usually for benefit information.

Authority for maintenance of the system: Section 205(a) of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity, (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components, or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Folders in standard file cabinets.

Retrievability: By name. File is retained in event inquirer requests additional information or files a formal application and the correspondence from the individual can be used as a filing date for benefit purposes.

Safeguards: Usually available only to personnel on a need to know basis.

Retention and disposal: Destroyed after 1 year.

System manager(s) and address:

Assistant Regional Commissioner, Field Operations
(See Appendix F).

Notification procedure: District or branch manager (see Appendix F).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information furnished by inquirer.

Systems exempted from certain provisions of the act: None.

09-60-0079

System name: Wage item file HEW SSA OPO.

Security classification: None.

System location: District and branch office (see Appendix F, Federal Register September 20, 1976, page 41062).

Categories of individuals covered by the system: Workers who paid Federal Insurance Contribution Act and Self employment taxes.

Categories of records in the system: Notices sent to district offices concerning individual's earnings were reported (either by employer or himself) using an incorrect social security number or failing to show any number. Some notices involve coverage questions of self-employment income.

Authority for maintenance of the system: Section 205(a) of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Contacts are made with the employer or wage earner to reconcile the data on the earnings report in order that the earnings can be credited to the correct social security number. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity, (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components, or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Punch cards.

Retrievability: By name and social security number.

Safeguards: Non-sensitive material, generally available only on a need to know basis.

Retention and disposal: Retained only until the data is reconciled. It is then forwarded to the Bureau of Data Processing and subsequently destroyed by shredding.

System manager(s) and address: Director, Bureau of Field Operations, 6401 Security Boulevard.

Notification procedure:

Assistant Regional Commissioner, Field Operations
(See Appendix F)

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Employers tax returns and self-employment tax return of individual.

Systems exempted from certain provisions of the act: None.

09-60-0080

System name: Problem Case File HEW SSA OPO.

Security classification: None.

System location: District and branch office (see Appendix F, Federal Register, September 20, 1976, page 41062).

Categories of individuals covered by the system: Beneficiaries and applicants for social security benefits, health insurance, and black lung benefits.

Categories of records in the system: Beneficiary's name, address, social security number, nature of problem, and action being taken.

Authority for maintenance of the system: Sections 205(a) of the Social Security Act, and section 413(b) of the Federal Coal Mine Health and Safety Act (Black Lung).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity, (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components, or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Material is placed in manila type folders and stored in file drawers.

Retrievability: By name, may be in alphabetical order. Notes may be kept on difficult or continuing problem cases and maintained in a separate file. (This file is maintained by only a few offices).

Safeguards: File drawers are locked at night time.

Retention and disposal: File is broken down upon completion of the development. Pertinent documentation is sent to the reviewing office for permanent filing as a part of the claims folder.

System manager(s) and address:

Assistant Regional Commissioner, Field Operations
(See Appendix F).

Notification procedure: District or branch manager (see Appendix F).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Beneficiary or authorized representative.

Systems exempted from certain provisions of the act: None.

09-60-0081

System name: Problem Case File (Supplemental Security Income) HEW SSA OPO.

Security classification: None.

System location: Reconciliation and Analysis Units located in regional offices (see Appendix F).

Categories of individuals covered by the system: Applicants for supplemental security income payments.

Categories of records in the system: Listing of cases with date of eligibility in 1974 contains individual's name, social security number and in some cases additional information pertaining to factors of eligibility such as income, resources, and living arrangements. Claims folder containing application and documentation of factors of eligibility may also be in the file.

Authority for maintenance of the system: Section 1631 of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Claims material is maintained in manila type folders. Also computerized paper listing.

Retrievability: By name and social security number. Complex cases requiring special expertise to process are controlled by this listing.

Safeguards: Available on a need to know basis.

Retention and disposal: Retained indefinitely.

System manager(s) and address:

Assistant Regional Commissioner, Field Operations
(See Appendix F).

Notification procedure: Reconciliation and Analysis Manager (see Appendix F).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Applications for supplemental security income as provided by applicant.

Systems exempted from certain provisions of the act: None.

09-60-0082

System name: Forced Payment File (Supplemental Security Income) HEW SSA OPO.

Security classification: None.

System location: Reconciliation and Analysis Units located in regional offices (see Appendix F, Federal Register, September 20, 1976, page 41062).

Categories of individuals covered by the system: Applicants for supplemental security income payments.

Categories of records in the system: Paper listing containing name, social security number, and type of action being taken on the case.

Authority for maintenance of the system: Section 1631 of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

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

Storage: Paper listing.

Retrievability: By name and social security number. Mainly used for control of cases requiring a special procedure for processing a claim for supplemental security income payments.

Safeguards: Available on a need to know basis.

Retention and disposal: Retained indefinitely.

System manager(s) and address:

Assistant Regional Commissioner, Field Operations
(See Appendix F).

Notification procedure: Reconciliation and Analysis Unit Manager (see Appendix F).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Applications for supplemental security income payments as provided by applicant.

Systems exempted from certain provisions of the act: None.

09-60-0083

System name: One Time Payment File HEW SSA OPO.

Security classification: None.

System location: Reconciliation Analysis Units located in regional offices (see Appendix F, Federal Register, September 20, 1976, page 41062).

Categories of individuals covered by the system: Applicants for supplemental security income.

Categories of records in the system: File contains name of applicant, social security number, amount paid, months for which paid. Some records may also include other data pertaining to eligibility factors such as income, resources, living arrangement, etc.

Authority for maintenance of the system: Section 1631 of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual and to State audit agencies pursuant to agreement with HEW for auditing State supplementation payments. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: 5 X 8 card, tally strips or copies of form SSA-8110 (SSI One-Time Payment). Records, except for tally strips which are housed on a large drum type holder, are kept in file cabinets.

Retrievability: By name and social security number. Used in cases where one time payments are made; to insure that duplicate payments are not made.

Safeguards: Access limited to employees on a need to know basis. Area secured at night--doors locked.

Retention and disposal: Retained indefinitely.

System manager(s) and address:

Assistant Regional Commissioner, Field Operations
Bureau of Field Operations
(See Appendix F).

Notification procedure: Reconciliation and Analysis Unit Manager (see Appendix F).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Applications for supplemental security income as provided by applicant.

Systems exempted from certain provisions of the act: None.

09-60-0084

System name: Control File for Cases Before Presiding Officers HEW SSA OPO.

Security classification: None.

System location: Reconciliation and Analysis Units located in regional offices (see Appendix F, Federal Register, September 20, 1976, page 41062).

Categories of individuals covered by the system: Applicants for supplemental security income payments.

Categories of records in the system: Card file contains individual's name, social security number and chronological record of case processing. Claims file (if present) contains, in addition, factors of eligibility such as income, resources, living arrangements, etc.

Authority for maintenance of the system: Section 1631 of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components, or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: 5 X 8 card or SSA-250 (Development Worksheet). Claims material maintained in manila type folders.

Retrievability: By name and social security number. Informational purposes to answer inquiries from the applicant, social security district offices, and Bureau of Hearings and Appeals.

Safeguards: Available on a need to know basis.

Retention and disposal: Card files destroyed 4 months after effectuation takes place to make payments to applicant. Cases retained for at least 35 days from date of receipt from Presiding Officer to facilitate appeals process before forwarding for storage.

System manager(s) and address:

Assistant Regional Commissioner, Field Operations
(See Appendix F).

Notification procedure: Reconciliation and Analysis Manager (see Appendix F).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Applications for supplemental security income as provided by applicant.

Systems exempted from certain provisions of the act: None.

09-60-0085

System name: Claims Leads HEW SSA OPO.

Security classification: None.

System location: District and branch office (not maintained by all offices) (see Appendix F, Federal Register, September 20, 1976, page 41062).

Categories of individuals covered by the system: Individuals potentially eligible for benefits under Titles II, XVI, XVIII of the Social Security Act.

Categories of records in the system: Leads from mental hospital admissions, welfare, Internal Revenue Service, Veterans Administration, etc., who may be eligible for benefits under the various social security programs. Lead forms generally contain name and address of individual, date of birth, existence of a mental or physical impairment, data on dependents, last date worked, etc.

Authority for maintenance of the system: Section 205(a) of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components, or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Letter size forms usually maintained in manila type folders and interfiled with pending claims and postentitlement file.

Retrievability: Filed by name in alphabetical order in claims pending file. Used to initiate contact with individuals to determine their eligibility for benefits.

Safeguards: File drawers locked at night. Usually only available to personnel on a need to know basis.

Retention and disposal: Leads maintained until claim is taken or 6 months from date inquirer is invited by letter to file a claim, whichever is earliest.

System manager(s) and address:

Assistant Regional Commissioner, Field Operations
(See Appendix F).

Notification procedure: District or branch manager (see Appendix F).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Inquirer or third parties.

Systems exempted from certain provisions of the act: None.

09-60-0089

System name: Claims Folders and Post-Adjudicative Records of Applicants and Beneficiaries for Social Security Administration Benefits HEW SSA OPO.

Security classification: None.

System location: Retirement and Survivors Insurance Claims: Claims folders are maintained primarily in the Program Service Centers and the Division of International Operations (see Appendix A). Disability Insurance Claims Bureau of Disability Insurance (see Appendix B) or Division of International Operations (see Appendix A.) Black Lung Claims Bureau of Disability Insurance (see Appendix B). Supplemental Security Income Claims: Claims for benefits based on age - Program Service centers (see Appendix A). Claims for Disability or Blind Benefits - Bureau of Disability Insurance (see Appendix B). In addition, claims folders are transferred to numerous other locations throughout the Social Security Administration, and infrequently may be temporarily transferred to other Federal agencies (Department of Justice, or Office of the General Counsel, Department of Health, Education, and Welfare). The disability claims folders are also transferred to State agencies for disability and vocational rehabilitation determinations (see Appendix B). The claims folders are generally set up in district or branch offices when claims for benefits are filed. They are retained there until all development has been completed, then are transferred to the appropriate reviewing office as set out above. Supplemental security income claims folders are held in district or branch offices pending establishment of a payment record, or until the appeal period, in a denied claim situation, has expired. The folders are then transferred to the reviewing office. For district or branch office information, see Appendix F.

Categories of individuals covered by the system: Claimants for retirement, survivors, disability, health insurance, or black lung benefits or supplemental security income payments.

Categories of records in the system: The claims folder is established when a claim for benefits is filed. It contains applications for benefits, earnings record information established and maintained by the Social Security Administration, documents supporting factors of entitlement and continuing eligibility, payment documentation, and correspondence to and from claimants and/or representatives. It may also contain data collected as a result of inquiries or complaints, and evaluation and measurement study of effectiveness of claims policies. Separate files may be maintained of certain actions which are entered directly into the computer processes. These relate to reports of changes of address, work status, and other post-adjudicative reports.

Authority for maintenance of the system: Payment of benefits is directed by the following sections: Sections 202(a)-(i), 223, 226, 228, and 1611 of the Social Security Act and Section 411 of the Federal Coal Mine and Health Safety Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine uses for disclosure may be to:

a. Third party contacts by the Social Security Administration (without the consent of the individual to whom the information pertains) in situations where the party to be contacted has, or is expected to have, information relating to the individual's capability to manage his affairs or his eligibility for or entitlement to benefits under the social security program when:

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

(2) The data are needed to establish the validity of evidence or to verify the accuracy of information presented by the individual, and it concerns one or more of the following: the individual's eligibility to benefits under a social security program; the amount of a benefit payment; any case in which the evidence is being reviewed as a result of suspected abuse or fraud, concern for program integrity, or for quality appraisal, or evaluation and measurement system activities.

b. Third party contacts by the Social Security Administration where necessary to establish or verify information provided by representative payees or payee applicants.

c. A person (or persons) on the rolls when a claim is filed by an individual which is adverse to the person on the rolls; that is:

(1) An award of benefits to a new claimant precludes an award to a prior claimant; or

(2) An award of benefits to a new claimant will reduce the benefit payments to the individual(s) on the rolls, but only for information concerning the facts relevant to the interests of each party in a claim.

d. Employers or former employers for correcting or reconstructing earnings records and for social security tax purposes only.

e. The Treasury Department for collecting social security taxes or as otherwise pertinent to tax and benefit payment provisions of the Social Security Act, (including social security number verification services) and for investigating alleged theft, forgery, or unlawful negotiation of social security checks.

f. The United States Postal Service for investigating alleged forgery or theft of social security checks.

g. The Department of Justice for investigating and prosecuting violations of the Social Security Act to which criminal penalties attach, for representing the Secretary, and for investigating issues of fraud by agency officers or employees, or violation of civil rights.

h. The Department of State and the Veterans' Administration Regional Office Philippines for administering provisions of the Social Security Act in foreign countries through facilities and services of those agencies.

i. The Railroad Retirement Board for administering provisions of the Railroad Retirement and Social Security Act relating to railroad employment and for administering the Railroad Unemployment Insurance Act.

j. The Veterans' Administration for the purpose of administering 38 U.S.C. 412 (special payments to certain survivors of uninsured persons who die after 1956 while on active duty, active duty for training, or inactive duty training, or who die after 1956 due to a service-connected disability incurred after September 15, 1940).

k. The Department of Labor for administering provisions of Title IV of the Federal Coal Mine Health and Safety Act.

l. The Bureau of Census when it performs as a collecting agent or data processor for research and statistical purposes directly relating to the Social Security Act.

m. The Department of the Treasury, Office of Tax Analysis, for studying the effects of income taxes and taxes on earnings.

n. The Civil Service Commission for study of the relationship of civil service annuities to minimum social security benefits, and the effects on the trust fund.

o. State social security administrators for administration of agreements pursuant to section 218 (State and local).

p. State Welfare Departments for administering Sections 205(c)(2)(B)(i)(II) and 402(a)(25) of the Social Security Act requiring information about assigned social security numbers for Aid to Families with Dependent Children program purposes only.

q. State Welfare Departments pursuant to agreements with the Social Security Administration for administration of State supplementation payments, for determinations of eligibility for Medicaid per section 1634, and for enrollment of welfare recipients for medical insurance under Section 1843 of the Social Security Act, and for conducting independent quality assurance reviews of supplemental security income recipient records, provided that the agreement for federal administration of the supplementation provides for such an independent review.

r. State Vocational Rehabilitation agency, or State crippled children's service agency (or another agency providing services to disabled children) for consideration of rehabilitation services per U.S.C. and 1382d.

s. State audit agencies for auditing State supplementation payments and Medicaid eligibility considerations.

t. Professional Standards Review Organizations (PSRO) and State Licensing Boards for review of unethical practices or nonprofessional conduct as provided in section 1165.

u. Providers and suppliers of services directly or dealing through fiscal intermediaries or carriers for administration of provisions of title XVIII.

v. Private medical and vocational consultants for use in making preparation for, or evaluating the results of, consultative medical examinations or vocational assessments which they were engaged to perform by the Social Security Administration or a State agency acting in accord with sections 221 or 1633.

w. Energy Resources Development Administration for their study of the long-term effects of low-level radiation exposure.

x. Specified business and other community members and Federal, State, and local agencies for verification of eligibility for benefits under section 1631(e).

y. Institutions or facilities approved for treatment of drug addicts or alcoholics as a condition of the individual's eligibility for payment under section 1611e and as authorized by regulations issued by the Special Action Office for Drug Abuse Prevention.

z. Contractors under contract to the Social Security Administration for the performance of research and statistical activities directly relating to the Social Security Act. (See also 45 CFR, Part 5b). Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

aa. Applicants, claimants, prospective applicants or claimants, other than the data subject, their authorized representatives or representative payees to the extent necessary to pursue social security claims and receive an account of benefit payments.

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

cc. State audit agencies for verifying proper expenditures of Federal funds by the State in support of the Disability Determination Service (DDS).

dd. The Veterans Administration of information requested for purposes of determining eligibility for or amount of VA benefits or verifying other information with respect thereto. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected. In response to legal process or interrogatories relating to the enforcement of an individual's child support or alimony obligations, as required by sections 459 and 461 of the Social Security Act.

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

Storage: Claims folders are maintained in file cabinets by service area as set out in Location above.

Retrievability: Filed in numerical sequence by social security number. The folders are used throughout the Social Security Administration for the purposes of determining, organizing, and maintaining documents for making normal determination as to eligibility to benefits, the amount of benefits, reviewing continuing eligibility, holding hearings or administrative review processes, and to ensure that proper adjustments are made based on events affecting entitlement. The folder may be referred to State Disability Determination Sections or Vocational Rehabilitation Agencies in disability cases. They may also be used for quality review, evaluation, and measurement studies, and other statistical and research purposes.

The claims folder constitutes the basic record for payments and determinations under the Social Security Act and the Federal Coal Mine Health and Safety Act (black lung). Data are used to produce and maintain the master beneficiary record system (see Systems Notice) which is the automated payment system for retirement, survivors, and disability benefits; the supplemental security income automated system for the aged, blind, and disabled payments; the black lung payment process for black lung claims; and the Health Insurance and Billing and Collection Master record systems for Hospital and supplementary medical (medicare) insurance benefits.

This paper file is controlled by the Social Security Administration Claims Control System while the claim is pending development for adjudication in the district or branch office, and by the Case Control System once the folder has been transferred to the reviewing office (program service centers, Division of International Operations, or the Bureau of Disability Insurance).

Safeguards: Claims folders are protected through limited access to Social Security Administration records, limited employee access to need to know. All employees are instructed in Social Security Administration confidentiality rules as a part of their initial orientation training.

Retention and disposal: The claims folder is initially maintained in the reviewing office. Later, both active and inactive folders are transferred to the Federal Archives and Records Center for storage and inactive (no one is entitled to benefits) folders are scheduled for destruction. The time for retention prior to destruction is 5-year retention - no record of surviving potential beneficiaries; 20-year retention - withdrawn claims, claims disallowed or lump-sum death payments only; and 55-year retention - potential future claimants indicated in the file. When a subsequent claim is filed on the social security number, the claims file is recalled from the Records Center. Similarly, the claims files may be recalled from the Records Center at any time by the Social Security Administration as necessary in the administration of the social security programs.

System manager(s) and address:

Director
Bureau of Retirement and Survivors Insurance
6401 Security Boulevard
Baltimore, Maryland 21235

Director
Bureau of Supplemental Security Income
6401 Security Boulevard
Baltimore, Maryland 21235

Director
Bureau of Disability Insurance
6401 Security Boulevard
Baltimore, Maryland 21235

Director
Bureau of Health Insurance
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: Contact the most convenient social security office (see Appendix F for address and telephone information). An individual who requests notification of or access to a medical

record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: In order to find out if this system contains information about him, an individual may contact the most convenient social security office in person or in writing. The inquirer should provide his name, social security number, identify the type of claim he filed (retirement, survivors, disability, health insurance, black lung, special minimum payments, or supplemental security income) (if more than one claim was filed, each should be identified); whether he is or has been receiving benefits, whether payments are being received under his own social security number, and if not, the name and social security number under which received, if benefits have not been received, the approximate date and the place the claim was filed; and his return address or his telephone number.

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: This information is obtained from the claimants, accumulated by the Social Security Administration from reports of employers or self-employed individuals, various local, State, and Federal agencies, claimant representatives and other sources to support factors of entitlement and continuing eligibilities.

Systems exempted from certain provisions of the act: None.

09-60-0090

System name: Master Beneficiary Record HEW SSA OPO.

Security classification: None.

System location:

Bureau of Data Processing
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: All social security beneficiaries currently entitled to receive retirement, survivors, disability, and special minimum social security benefits; records for beneficiaries whose entitlement has been terminated because of a termination event as defined in the Social Security Act, and denied and disallowed cases.

Categories of records in the system: The master beneficiary data contains data applicable to all beneficiaries maintained on the record within a particular account and reflects the social security number under which benefits are awarded, the primary insurance amount (insured) or quarters of coverage required and earned (uninsured), provides information regarding benefit computation, insured status, use of railroad or military credits, and information for statistical and control purposes, contains the effective date of onset of disability for disability cases or date and proof of death for death cases; contains information pertinent to all beneficiaries receiving payment on the record and the name and address (including ZIP Code) of the payee, the servicing social security district office code and the amount of the monthly check payable; reflects any special status of a payment being made; contains statistical and identifying information for each individual on the record such as the beneficiary subscript, beneficiary name, date of birth, date of entitlement, sex, race, and benefit payment status; contains information for those beneficiaries enrolled in the health or supplemental medical insurance provision of the Social Security Act, contains information relating to annual reports of earnings, representative payee data, and cross-reference data pertinent to any other account on which the beneficiary may be entitled to benefits; and a chronological sequence of payment history for each beneficiary. The records may be in the following form: Master Beneficiary Record Computer File, Online Data Base (Query and Response); Various Microform Files as follows: Master File - a master record in account number order, Alpha File - an alphabetic list of beneficiaries, Transaction File - monthly supplement (accretions, deletions, and changes) to the master file, in social security number order, Offline Query and Response, Treasury Payment Tape Files and Related Transaction Files, and Returned and Cancelled Check Files, and payment reference listing. Various One-Time Work Tape Files used in computer sorting of records and in subsystems processing of the master beneficiary record. After use they are returned to stock.

Authority for maintenance of the system: Payment of benefits is directed by the following sections: Sections 202a-205, 223, 226, 228, 1611 and 1840 and of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine uses for disclosure may be to:

a. Applicants or claimants, prospective applicants or claimants, other than the data subject, their authorized representatives or representative payees to the extent necessary to pursue social security claims and receive and account for benefit payments.

b. Third party contacts by the Social Security Administration (without the consent of the individual to whom the information pertains) in situations where the party to be contacted has, or is expected to have, information relating to the individual's capability to manage his affairs or his eligibility for or entitlement to benefits under the social security programs when:

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

(2) The data are needed to establish the validity of evidence or to verify the accuracy of information presented by the individual, and it concerns one or more of the following: the individual's eligibility to benefits under a social security program, the amount of a benefit payment, any case in which the evidence is being reviewed as a result of suspected abuse or fraud, concern for program integrity, or for quality appraisal, or evaluation and measurement system activities.

c. Third party contacts by the Social Security Administration where necessary to establish or verify information provided by representative payees or payee applicants.

d. A person (or persons) on the rolls when a claim is filed by another individual which is adverse to the person on the rolls:

(1) An award of benefits to a new claimant precludes an award to a prior claimant, or

(2) An award of benefits to a new claimant will reduce the benefit payments to the individual(s) on the rolls, but only for information concerning the facts relevant to the interests of each party in a claim.

e. The Treasury Department for collecting social security taxes or as otherwise pertinent to tax and benefit payment provisions of the Social Security Act, (including social security number verfication services) and for investigating alleged theft, forgery, or unlawful negotiation of social security checks.

f. The United States Postal Service for investigating alleged forgery or theft of social security checks.

g. The Department of Justice for investigating and prosecuting violations of the Social Security Act to which criminal penalties attach, for representing the Secretary, and for investigating issues of fraud by agency officers or employees, or violation of civil rights.

h. The Department of State and the Veterans' Administration Regional Office Philippines for administering provisions of the Social Security Act in foreign countries through facilities and services of those agencies.

i. The Railroad Retirement Board for administering provisions of the Railroad Retirement and Social Security Acts relating to railroad employment and for administering the Railroad Unemployment Insurance Act.

j. The Veterans' Administration for the purpose of administering 38 U.S.C. 412 (special payments to certain survivors of uninsured persons who die after 1956 while on active duty, active duty for training, or inactive duty training, or who die after 1956 due to a service-connected disability incurred after September 15, 1940).

k. The Bureau of Census when it performs as a collecting agent or data processor for research and statistical purposes directly relating to the Social Security Act.

l. The Department of the Treasury, Office of Tax Analysis, for studying the effects of income taxes and taxes on earning.

m. The Civil Service Commission for the study of the relationship of civil service annuities to minimum social security benefits, and the effects on the trust fund.

n. State social security administrators for administration of agreements pursuant to section 218 (State and local).

o. State Welfare Departments for administering Sections 205(c)(2) (B)(i)(II) and 402(a)(25) of the Social Security Act requiring information about assigned social security numbers for Aid to Families with Dependent Children program purposes and for determining a recipient's eligibility under the AFDC and Medicaid programs.

p. Energy Resources Development Administration for their study of the long-term effects of low-level radiation exposure. (See also 45 CFR, Part 5b). q. A congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

r. Contractors under contract to the Social Security Administration or under contract to another agency with funds provided by the Social Security Administration for the performance of research and statistical activities directly relating to the Social Security Act.

s. Veterans Administration of information requested for purposes of determining eligibility for or amount of VA benefits or verifying other information with respect thereto.

t. The Department of Labor, for statistical studies of the relationship of private pensions and social security benefits to prior earnings. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected. In response to legal process or interrogatories relating to the enforcement of an individual's child support or alimony obligations, as required by sections 459 and 461 of the Social Security Act.

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

Storage: Magnetic tape, magnetic disk, microform, and paper.

Retrievability: Based on social security number on magnetic tape, microform readers and printers, listings, and online computer terminals. Master beneficiary record data are used by a broad range of social security employees for responding to inquiries, generating followups on beneficiary reporting events, computer exception processing, statistical studies, conversion of benefits, and to generate payment records for Treasury. Data are received from the States regarding health insurance third party premium payment/buy-in information. Data are made available to the Inspector General for use in the performance of his duties.

Safeguards: All magnetic tapes and discs are within an enclosure attended by security guards. Anyone entering or leaving this enclosure must have special badges which are issued only to authorized personnel. All microfilm and paper files are accessible only by authorized personnel with a need to know. For computerized records, electronically transmitted between Central Office and field office locations (including organizations administering SSA programs under contractual agreements), systems securities are established in accordance with Departmental standards and National Bureau of Standards guidelines. Safeguards include a lock/unlock password system, exclusive use of leased telephone lines, a terminal oriented transaction matrix, and an audit trail.

Retention and disposal: Magnetic tape records are used to update the disc files and then are retained up to 90 days; the majority of magnetic tape reels are erased and returned to stock after processing is completed, while the disc files are continuously updated and retained indefinitely. Microfilm is disposed of by shredding after periodic replacement. of a complete file. Paper records are usually destroyed after use, by shredding, except where needed for documentation of the claims folder, in which case they are retained therein indefinitely (see notices for claims folders and post-adjudicative records of applicants and beneficiaries for social security benefits).

System manager(s) and address:

Director
Bureau of Retirement and Survivors Insurance
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: Contact the most convenient social security office (see Appendix F). The social security claim number (social security number plus alphabetic symbols), and name and address must be furnished with proper identification.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: The information for the master beneficiary record comes primarily from the claims folder and/or is furnished by the beneficiary at the time of filing for benefits, via the application form and necessary proofs, and during the period of entitlement when notices of events such as changes of address, work, marriage, are given the Social Security Administration by the beneficiary; from States regarding health insurance buy-in cases.

Systems exempted from certain provisions of the act: None.

09-60-0091

System name: Social Security Administration Claims Control System HEW SSA OPO.

Security classification: None.

System location:

Bureau of Data Processing
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: A control record is established when a claim(s) for Retirement, Survivors, Disability, and/or Health Insurance Benefits is filed on a particular social security number (SSN). Only one record is established for each social security number even though more than one claim may be filed simultaneously--e.g., claims for the wage earner, his wife, and children on one social security number.

Categories of records in the system: The record content is: social security number and wage earner's name; the date the application was filed--for a few cases it is not included because it is not known when the record is established; the type of action--i.e., Retirement, Survivors, Disability, and/or Health Insurance Benefits; the potential month of entitlement--for monthly benefits this will be the first month for which benefits may be paid; the code for the district office that processed the application; the district office that released the claim to the State agency or program center; the present location of the claim; the date the claim was released by one office and received by another.

Authority for maintenance of the system: Section 205q of the Social Security Act--This provision necessitates a systems control of claims to ensure payment within prescribed time pars.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Magnetic tape and disk for online and offline retrieval.

Retrievability: Indexed by social security number. Controlling claims from the point they originate in a district office until they are finally processed to completion enables the Administration to identify those claims for which inordinate delays occur. Once identified, expeditious processing is initiated. Moreover, the data present in the system is useful in the reconstruction of a claim if the application were to be lost.

Safeguards: Magnetic tape and disk records protected through standard security measures used for all SSA's computer records--limited access to Social Security Administration offices--limited employee access to computer facilities based on specific authorization. For computerized records, electronically transmitted between Central Office and field office locations (including organizations administering SSA programs under contractual agreements), systems securities are established in accordance with Departmental standards and National Bureau of Standards guidelines. Safeguards include a lock/unlock password system, exclusive use of leased telephone lines, a terminal oriented transaction matrix, and an audit trail.

Retention and disposal: The records on the magnetic tapes are purged when the decision of award or disallowance is made on the social security number or at 1 year from the date the record is established, whichever occurs first. The old versions of tapes are erased and returned to stock. The disk files are continuously updated and retained indefinitely.

System manager(s) and address:

Director
Bureau of Retirement and Survivors Insurance
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: Social Security District Offices and Branch Offices (See Appendix F.)

Record access procedures: Social Security District Offices and Branch Offices. The data in this system are extremely limited since the system is a mechanism used by the agency to control and expedite the processing of claims. An individual may access the information about him in the system by contacting the most convenient social security office, referencing the system, providing name, social security number, approximate date and place claim was filed, type of claim (retirement, survivors, disability, or health insurance), and return address or phone number.

Contesting record procedures: It is maintained that little of the data in this system is contestible; however, should an individual wish to contest it upon review, he may discuss the matter with the social security office staff. If he decides to contest, he should reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR.Sec. 5b.7 Federal Register, October 8, 1975, page 47411).

Record source categories: The data are derived from the information furnished by the claimant on his application and by control data that is received as the claim is sent from the district office to other social security offices.

Systems exempted from certain provisions of the act: None.

09-60-0092

System name: Automated Control System for Case Folders HEW SSA OPO.

Security classification: None.

System location: Program Service Centers (See Appendix A), Division of International Operations, Bureau of Disability Insurance (See Appendix B).

Categories of individuals covered by the system: All claimants who have a social security number, have filed a claim under Titles II, retirement, survivors, and disability insurance; XVI, supplemental security income, and XVIII, health insurance, of the Social Security Act, and whose claims have been processed through to a decision of award, disallowance, withdrawal, or termination such claims are in the adjudication process for reaching the aforementioned decisions.

Categories of records in the system: A control record by social security number containing data relative to the location of the claim serviced by one of the offices maintaining jurisdictional responsibility. Whether the claims folder is maintained in that office, temporarily or permanently transferred to another office within the Social Security Administration, a State disability, or vocational rehabilitation agency, or for storage in a Federal Records Center.

Authority for maintenance of the system: The payment provisions of the Social Security Act and Federal Coal Mine Health and Safety Act, Sections 202, 223, 226, 228, and 1611 of the Social Security Act and 411 of the Federal Coal Mine Health and Safety Act. The information for this system is derived from the claims filing process and duplicates, in fact, that set out in the Claims Folder Systems Notice.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Magnetic disk storage files and magnetic tape files.

Retrievability: Social security number. Control records containing social security numbers are used by the offices to identify the location of claims as well as enabling them to associate and process incoming material in a timely fashion. The identification and exact location feature assists Social Security Administration in meeting the standards of service to the public in processing and deciding claims for benefits. Data are also used to identify where operating weaknesses are to facilitate corrective action by management. Management data is also derived from the control records to provide statistical data relative to workloads, staffing, and manpower usage.

Safeguards: Disk and tape files protected through standard security measures used for all of Social Security Administration's computer records--limited access to social security offices, and limited employee access to computer facilities based on specific authorizations.

Retention and disposal: The control records are maintained indefinitely. No provisions have been made to dispose of the control records nor is any contemplated as of now. When disk files are rewritten, the old disks are erased and returned to stock.

System manager(s) and address:

Director
Bureau of Retirement and Survivors Insurance
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure:

1. Director for one of the program service centers (See Appendix A)
2. Director, Division of International Operations, Professional Building
for foreign claims
3. Director, Bureau of Disability Insurance, Baltimore, Maryland 21241
for disability claims

Record access procedures: The data in this file are extremely limited since the system is a mechanism used by the agency to locate claims folders and claims in process. Information in the system about an individual may be accessed by writing to the appropriate official set out under Notification above, referencing the system, providing name, social security number and related address. (These access procedures are in accordance with Department Regulations (45CFR, Sec. 5b.5(a)(2) Federal Register, October 8, 1975, Page 47410).

Contesting record procedures: It is maintained that little of the data here is contestible; however, should an individual wish to contest it upon review, he may do so by writing to the official who was initially requested to furnish the information, indicating which data are contested, the reason it is contested, and providing social

security number, name and related address. (These procedures are in accordance with Department Regulations (45CFR,Sec5b.7) Federal Register, October 8, 1975, page 47411).

Record source categories: The control records are developed from recordings of cards containing social security numbers and coded location identifiers. Also, magnetic tape files prepared in Baltimore containing social security numbers and location identifications are provided to the jurisdictional offices to reflect the location of claims wherever located in Social Security Administration offices.

Systems exempted from certain provisions of the act: None.

09-60-0093

System name: Billing and Collection Master Record System HEW SSA OPO.

Security classification: None.

System location:

Bureau of Data Processing
6401 Security Boulevard
Baltimore, Maryland 21235

Bureau of Retirement and Survivors Insurance
6401 Security Boulevard
Baltimore, Maryland 21235

Social Security Administration Program Service Centers
Division of International Operations (see Appendix A)

Bureau of Disability Insurance
Baltimore, Maryland 21241

Categories of individuals covered by the system: This system contains records of all retirement, survivors, disability, or health insurance beneficiaries entitled to hospital insurance and/or supplementary medical insurance who are, or have been, subject to direct billing for insurance premiums. This includes individuals who: (1) are currently being billed directly for insurance premiums; (2) are not currently in direct billing status but have either a premium arrearage (or overpayment) of record or were at one time in direct billing status. It does not contain a record of any hospital or supplementary medical insurance enrollee who has had premiums deducted from monthly benefits or paid through a third party payer arrangement continuously from the initial month of entitlement.

Categories of records in the system: It contains identifying information as well as information regarding entitlement to hospital or supplementary medical insurance, current address information, individual records of premium payments, premium adjustments, refunds of excess payments, and current amounts due.

Authority for maintenance of the system: Sections 1840(e) and 1871 of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Primary record storage is by magnetic tape and disk. Monthly updates of the record are also provided to the Social Security Administration program service centers, the Division of International Operations, Bureau of Retirement and Survivors Insurance, and the Division of Benefit Payments, Bureau of Disability Insurance in microform records.

Retrievability: Magnetic tape, disk and microform records are indexed by social security number, or claim account number. It is used to: (1) generate monthly and quarterly premium billing notices; (2) record and process premium payments and adjustments; (3) refund excess premium payments; (4) terminate hospital and/or supplementary medical insurance coverage for non-payment of premiums. (5) reverse termination actions. (6) maintain a history of premium payments, adjustments, or other events which alter the billing status, (7) provide up-to-date premium and billing information to Social Security Administration clerical and electronic operations. Information is used to respond to specific beneficiary inquiries or to facilitate the proper adjustment of social security benefit payments. Information is also accessed electronically by social security benefit programs for the proper adjustment of payment amounts.

Safeguards: Magnetic tape, and disk records are protected through standard security measures used for all of Social Security Administration's computer records; microform records are subject to the same rules and security as all other information in Social Security Administration relating to claims and beneficiary records; limited access to Social Security Administration offices; limited employee access to need to know.

Retention and disposal: Microform and tape records can routinely be sent to the Federal Records Center after 2 years. However, since this record is updated monthly, even though the physical records are released to the Federal Records Center, current record will contain full history of all transactions. An inactive tape file, i.e., a file containing the records of cases where the enrollee has died, been in payment status for 2 or more years, etc., is maintained in each program center. This file currently has no disposal schedule.

System manager(s) and address:

Director
Bureau of Retirement and Survivors Insurance
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: In order to ascertain whether or not this system contains information about him/her, an individual should contact the most convenient social security office and provide health insurance claim number as shown on Medicare health insurance card (see Appendix F).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: The identification and entitlement/termination information for this system is extracted from Social Security Administration's Master Beneficiary Record. All other information is compiled from the individual's premium billing and payment histories.

Systems exempted from certain provisions of the act: None.

09-60-0094

System name: Recovery Accounting for Overpayments HEW SSA OPO.

Security classification: None.

System location:

Bureau of Data Processing,
6401 Security Boulevard
Baltimore, Maryland 21235

Social Security Administration Program Service Centers (see Appendix A)

Bureau of Disability Insurance
Baltimore, Maryland 21241

Division of International Operations
6401 Security Boulevard
Baltimore, Maryland 21235

Lists of overpaid individuals, which are produced by this computer system,
are maintained at each district or branch office (see Appendix F).

Categories of individuals covered by the system: All social security beneficiaries who received an overpayment of benefits. All persons holding conserved (accumulated) funds received on behalf of a social security beneficiary. All persons who received social security payments on behalf of a beneficiary and were found to have misused those payments.

Categories of records in the system: Identifying characteristics of each overpayment or instance of misused or conserved funds. Name and address of the individual(s) involved. Recovery efforts made and the date of each action. Planned future actions.

Authority for maintenance of the system: Section 204(a) of the Social Security Act (42 United States Code 404(a)).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity, (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components, or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Magnetic tape, magnetic disk and microfiche in the Bureau of Data Processing. Microfiche in program service centers, the Bureau of Disability Insurance and the Division of International Operations. Paper listings in district and branch offices.

Retrievability: Magnetic tape, magnetic disk and microfiche indexed by social security number. The users of this system are employees of social security district and branch offices, as well as selected personnel of the Social Security Administration Program Service Centers, the Bureau of Disability Insurance, and the Division of International Operations. The data are used to maintain control of overpayments and misused or conserved funds from the time of discovery to the final resolution and for the proper adjustments of payment and refund amounts. Data also used to produce accounting and statistical reports at specified intervals.

Safeguards: Magnetic tape, magnetic disk, microfiche and paper records are protected through standard security measures used for all of the Social Security Administration's records--limited access to Social Security Administration offices--limited access to files to employees on a need to know basis.

Retention and disposal: Magnetic tape files are updated daily and retained for 10 days, after which the tapes are erased and returned to stock. The magnetic tape file produced in the last operation of the month is retained in security storage for a period of 30 days, after which the tapes are erased and returned to storage. The microfiche records are updated monthly, retained for one month after the month they are produced, and then destroyed by application of heat. Paper listings are destroyed when overpayment issue is resolved or updated listing is received. The disk files are continuously updated and retained indefinitely.

System manager(s) and address:

Director
Bureau of Retirement and Survivors Insurance
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: In order to find out if this system contains information about him, an individual may contact the most convenient social security office (See Appendix F) or program center (See Appendix A). Provide name, social security number, the address, reference this system, and any other information which will assist in locating the materials (e.g., data about a prior or current overpayment).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: The information for the computer files is received directly from beneficiaries, from district and branch offices, and as the result of earnings enforcement operations. The paper listings are updated as a result of the computer operations.

Systems exempted from certain provisions of the act: None.

09-60-0095

System name: Health Insurance Overpayment Ledger Cards HEW SSA OPO

Security classification: None.

System location:

Social Security Administration
Program Service Centers

Division of International Operations (See Appendix A)

Bureau of Disability Insurance
6401 Security Boulevard
Baltimore, Maryland 21241

Categories of individuals covered by the system: All social security health and supplemental medical insurance enrollees who received incorrect medicare payments or services, who are determined liable, and against whom it is not possible to adjust subsequent Part A (Hospital) or Part B (Supplementary Medical) benefits.

Categories of records in the system: A clerical record of each overpaid medicare benefit, name and address of the individual(s) involved. Recovery efforts made and the date of each action. Planned future actions.

Authority for maintenance of the system: Sections 1814, 1833 and 1870 of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components, or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Card stock in metal cabinets.

Retrievability: By social security number. The users of this system are selected employees of both social security program centers as well as Division of International Operations and Bureau of Disability Insurance. The information recorded by the program centers is used to maintain control of medicare overpayments referred to the program center from Bureau of Health Insurance for recovery action. In these cases, Bureau of Health Insurance is unable to recoup the overpayment by adjusting subsequent medicare benefits. The information on the ledger cards is also used to produce periodic accounting, management, and statistical reports.

Safeguards: Records protected through standard security means for all of the Social Security Administration's clerical records, limited access to buildings and limited access by employees on a need to know basis.

Retention and disposal: Retained in the program center for a period of one year after collection efforts terminated and then transferred to the Federal Records Center where they are retained for 3 years, then destroyed.

System manager(s) and address:

Director
Bureau of Retirement and Survivors Insurance
6401 Security Boulevard

Baltimore, Maryland 21235

Notification procedure:

Social Security Administration Program Service Centers

Division of International Operations (See Appendix A)

Bureau of Disability Insurance
6401 Security Boulevard
Baltimore, Maryland 21241

Record access procedures: An individual may access any information maintained about him in this system. He should write to the appropriate office (based on social security number) as set out in Appendix A, providing his social security number, and referencing this system of records. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Sec.5b.5(a)(2) Federal Register, October 8, 1975, page 47410).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411).

Record source categories: The information is received indirectly from the providers of Medicare services through the Bureau of Health Insurance and directly from the Bureau of Health Insurance as a result of their audit.

Systems exempted from certain provisions of the act: None.

procedures.

09-60-0096

System name: Control System for Delayed, Critical, or Sensitive Case Inquiries HEW SSA OPO.

Security classification: None.

System location:

Bureau of Retirement and Survivors Insurance, Critical Case Staff
6401 Security Boulevard
Baltimore, Maryland 21235

Inquiry and Expediting Staffs of the Social Security Administration
Program Service Centers (see Appendix A for addresses)
the Division of International Operations' Sensitive Case Staff
6401 Security Boulevard
Baltimore, Maryland 21235

Copies of individual files are also maintained by the district or branch
office at which an inquiry of this nature originates (see Appendix F).

Categories of individuals covered by the system: Social security beneficiaries or persons inquiring on their behalf who are reporting failure to receive a check or checks which they believe are due or are inquiring about other matters which have been determined to be of a critical or sensitive nature (e.g., failure to receive a check).

Categories of records in the system: The name and social security number of the individual and identifying information about the source of the inquiry (e.g., the individual, congressman, authorized representatives), the problem involved, and its subsequent resolution.

Authority for maintenance of the system: Section 205(q) of the Social Security Act (42 U.S.C. 405(q)).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Respond to the inquirer; may include contact with the Treasury Department to determine if payment was issued or check returned for cash. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Control cards and inquiry sheets, copies of letters to individuals or persons writing on their behalf (e.g., congressmen, authorized representatives) advising them of the resolution of their inquiries.

Retrievability: By name and/or social security number.

Safeguards: The control records are subject to the same rules and safeguards as all other information in Social Security Administration relating to claims and beneficiary records--limited access to the Social Security Administration offices, and limited employee access based on need to know.

Retention and disposal: Control cards are maintained for 6 months after which they are destroyed by shredding. Inquiry sheets are destroyed after 1 year by shredding. Letters are maintained for 2 years and then destroyed by shredding, except those originating in the program centers and the Division of International Operations. They are maintained in the claims folder as part of the file. District and branch office copies are destroyed after the investigation has been completed.

System manager(s) and address:

Director
Bureau of Retirement and Survivors Insurance
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: In order to ascertain whether or not this system contains information about him/her, an individual should contact the most convenient social security office and provide the system name, social security number, and return address, or phone number.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: The information is derived from the individual or someone on his behalf, the individual's claims record, and the contacts within the Social Security Administration or outside the Social Security Administration (e.g., Treasury Department) needed to obtain the information.

Systems exempted from certain provisions of the act: None.

09-60-0097

System name: Program Integrity Case Files HEW SSA OPO.

Security classification: None.

System location:

Bureau of Retirement and Survivors Insurance
6401 Security Boulevard
Baltimore, Maryland 21235
and its program service centers (see Appendix A)

Bureau of Disability Insurance
Baltimore, Maryland 21241
its regional office locations (see Appendix B)

Regional Commissioners Office (see Appendix D.2.)

Categories of individuals covered by the system: Persons suspected of having violated the criminal provisions of the Social Security Act where substantial basis for criminal prosecution exists, and defendants in criminal prosecution cases.

Categories of records in the system: Information maintained in each record includes the identity of the suspect, the nature of the alleged offense, documentation of the investigation into the alleged offense, and the disposition of the case by the Social Security Administration or the United States Attorney.

Authority for maintenance of the system: Sections 206, 208, 221, 222, 1106, 1107, 1631(d)(3), 1632, 1633, 1816, 1842, 1872, 1874, 1876, 1877 of the Social Security Act, and sections 413 and 427 of the Federal Coal Mine Health and Safety Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Material in this system of records is routinely used by SSA staff to determine if a violation of the penal provisions of the Social Security Act or related provisions of the United States Code has been committed. If so, such material is used as the basis for referral of the case to the Department of Justice for consideration of prosecution, and is disclosed to that agency. The material is also used to determine the direction of investigation of potential fraud situations, which includes contact with third parties for the purpose of establishing or negating a violation. Some such information is disclosed to officers or employees of State governments as well as the CHAMPUS program for use in conducting investigations of possible fraud or abuse against the title XIS or CHAMPUS programs, as well as States Attorneys in connection with State programs involving the Social Security Administration. Cases involving fraudulent tax returns or forgery of social security checks are disclosed to the Treasury Department. (See also 45 CFR, Part 5B). Disclosure may also be made to: The U.S. Postal Service for investigating alleged forgery or the theft of social security checks. State and local police authorities for the purpose of investigating the loss, theft, and/or forgery of Medicare checks. to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity, (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components, or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Manual system, records maintained in manila folders and stored in filing cabinets.

Retrievability: Records are indexed and retrieved by social security number or by name of the subject of the investigation. The information in this record system pertains to suspected violations and fraud investigations. Cases may move through several levels of the Social Security Administration organization at the district, regional and/or central office locations during the course of documenting a suspected fraudulent situation.

Safeguards: Records are maintained in locked filing cabinets and are accessed only by employees with a job-related need for the information.

Retention and disposal: Records may be retained 3 - 5 years after final disposition of the case. At the end of the retention period, the records are destroyed by shredding. (Supplemental security income cases are scheduled for 5 year retention, all others 3 years; once experience has been gained with the former types of case, it may be possible to reduce it to 3 years.)

System manager(s) and address: For Supplemental Security Income records, the Regional Commissioner Offices (see Appendix D. 2.)

Director
Bureau of Disability Insurance
Baltimore, Maryland 21241

Director,
Bureau of Retirement and Survivor's Insurance
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: An individual can determine if this system contains a record pertaining to him by requesting such information in writing from the appropriate program center for retirement and survivors cases (see Appendix A); Bureau of Disability Insurance for disability, black lung, or Supplemental Security Income disabled or blind cases; Regional Commisioner Office for Supplemental Security Income (see Appendix D. 2.). The request should include the individual's name and social security number, any social security number on which he has filed for or received benefits, the type of such claim, and current claim status. An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Per 5 United States Code 522a (k)(2), the records in this system are exempt from access by the individual named in the records. However, access to information which is a matter of public record or documents furnished by the individual will be permitted.

Contesting record procedures: Same.

Record source categories: The information contained in this record system is the result of criminal investigation and may be derived from such sources as the suspect, witnesses, or Social Security Administration employees with a knowledge of the case.

Systems exempted from certain provisions of the act: Exemption of this system to the access provisions is claimed under section k(2) of the Privacy Act inasmuch as these records are investigatory materials compiled for program (law) enforcement in anticipation of a criminal proceeding. (See page 47413 of Federal Register of 10/8/75, Vol. 40, No. 196,Part V).

09-60-0100

System name: Litigation Activity File HEW SSA OPO.

Security classification: None.

System location:

Bureau of Retirement and Survivors Insurance
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: Plaintiffs who have filed court actions against the Secretary of HEW.

Categories of records in the system: Basically, the file is used as a reference and control vehicle for analysts involved in litigation activity. The records contain documentation concerning specific litigation cases. For example, documentation includes copies of suggested replies to interrogatories and factual summaries, copies of memoranda to implement court decisions, requests for information from Office of General Counsel and in response to the Office of General Counsel's requests for information, etc. Also included is documentation regarding telephone calls, personal contacts, and letters concerning routine activity on a particular litigation case.

Authority for maintenance of the system: Section 205(g) of the Social Security Act, 42 U.S.C. 402(g).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Information is stored in file cabinets.

Retrievability: File maintained in alphabetical order by plaintiff's last name, and is used by analysts working with the Office of the General Counsel and the reviewing offices for maintaining knowledge of the status of individual court cases.

Safeguards: Limited access based on need to know.

Retention and disposal: Files are maintained until all final actions are completed. After final actions are completed, files are destroyed by shredding.

System manager(s) and address:

Director

Bureau of Retirement and Survivors Insurance
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: Contact the systems manager in writing, and provide name, social security number, return address, and system name.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411).

Record source categories: Information is recorded from the complaint received from the Office of General Counsel and other correspondence, decisions, recommendations, etc.

Systems exempted from certain provisions of the act: None.

09-60-0101

System name: Court Case Record File HEW SSA OPO.

Security classification: None.

System location:

Bureau of Retirement and Survivors Insurance
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: Plaintiffs who have filed court actions against the Secretary of HEW.

Categories of records in the system: Record contains: Plaintiff's name, wage earner's name, Social Security number, the date the complaint was filed, the issue involved (e.g., plaintiff contesting HEW's date of birth determination), action taken on complaint, cross reference to litigation folder (see systems notice regarding Litigation Activity File).

Authority for maintenance of the system: Section 205(g) of the Social Security Act, 42 U.S.C. 402(g).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Cards are stored in a file cabinet.

Retrievability: They are filed alphabetically by plaintiff's last name. Information from the court case record cards are used for the statistical portion of the Civil Litigation Report sent to the Commissioner of Social Security Administration Also, these cards are used as reference cards and locator cards to find the litigation material.

Safeguards: Limited access to Social Security Administration offices, limited employee access based on need to know.

Retention and disposal: Never destroyed. Closed cases after litigation report is completed are placed in boxes in alphabetical order.

System manager(s) and address:

Director
Bureau of Retirement and Survivors Insurance
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: Contact the systems manager in writing and provide name, social security number, return address, and systems name.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411).

Record source categories: Information is recorded from the complaint received from the Office of the General Counsel and other correspondence, decisions, recommendations, etc.

Systems exempted from certain provisions of the act: None.

09-60-0102

System name: Fee Ledger System for Representatives HEW SSA OPO

Security classification: None.

System location: Records pertaining to representatives in retirement, survivors, disability, health insurance, supplemental security income and black lung benefit claims are maintained at the following locations:

Bureau of Retirement and Survivors Insurance
6401 Security Boulevard
Baltimore, Maryland 21235
(For all claims involving retirement, survivors, and supplemental security for the aged)

Bureau of Disability Insurance
6401 Security Boulevard
Baltimore, Maryland 21241
(For all claims involving disability benefits, black lung and supplemental security income for the blind and disabled)

Bureau of Hearings and Appeals
801 North Randolph Street
Arlington, Virginia 22203
(For all claims that involve a hearing for disability, retirement, survivors benefits, health insurance, black lung, or supplemental security income)

Bureau of Supplemental Security Income
6401 Security Boulevard
Baltimore, Maryland 21235
(For claims involving only supplemental security income benefits)

Categories of individuals covered by the system: Attorneys and non-attorney representatives of claimants before the Social Security Administration.

Categories of records in the system: Name and address of representative, firm affiliation, if any, claimant's social security number, fee requested by representative, amount of fee approved by the Social Security Administration, amount withheld from claimant's past-due benefits, date the fee was approved, type of services rendered, reviewing and approving offices.

Authority for maintenance of the system: Sections 206 and 1631(d) of the Social Security Act, and section 413(b) of the Federal Coal Mine Health and Safety Act of 1969.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the De-

partment may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: The central reference files are maintained by the Bureau of Retirement and Survivors Insurance on ledger cards, and kept in metal file cabinets. In addition, when the ledger cards are destroyed, an alphabetic listing, which is manually maintained, is prepared to indicate that the representative has appeared before the Social Security Administration in the past. The Bureaus of Disability Insurance, Health Insurance, and Supplemental Security income may maintain carbon copies of the Petition to obtain approval of a fee for representing a social security claimant. These copies, when maintained, may include a copy of the Social Security Administration's authorization to charge and receive a fee, and are filed in metal filing cabinets; in the case of the Bureau of Hearings and Appeals, they are maintained in file books.

Retrievability: Records are generally indexed alphabetically by name of the representative. If the representative is an attorney and no specific name is furnished the record is filed according to the name of the firm. The Bureau of Hearings and Appeals, however, maintains its file based on social security number of the claimant.

Safeguards: Normal security measures are imposed. Only those Social Security Administration employees with a job-related need for the information can have access to the records in this system.

Retention and disposal: Ledger records are retained for a period of 5 years from the date of the latest entry. If no entries are recorded within this period the record is destroyed. When the ledger is destroyed, the name, address of the representative, and at least one social security number of an involved claim, is recorded and indexed for indefinite retention. Copies of the representatives petition are maintained in the Bureau of Retirement and Survivors Insurance until pertinent data are transferred to the ledger cards; then the copies are destroyed by shredding. Records in the Bureaus of Disability Insurance, Supplemental Security Income, and Hearings and Appeals are maintained indefinitely.

System manager(s) and address: See location for appropriate manager to contact.

Director, Bureau of Retirement and Survivors Insurance
6401 Security Boulevard
Baltimore, Maryland 21235

Director, Bureau of Disability Insurance
6401 Security Boulevard
Baltimore, Maryland 21241

Director, Bureau of Hearings and Appeals
801 North Randolph Street
Arlington, Virginia 22203

Director, Bureau of Supplemental Security Income
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: An individual can determine if this system contains a record pertaining to him by writing to the appropriate system manager. When the appropriate manager cannot be identified, the individual may contact the Director, Bureau of Retirement and Survivors Insurance. All requests should include the representative's name and address, type of claim, date the fee was approved, and social security number under which the claim was filed.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: All information is extracted and compiled from Forms SSA-1560, Petition to Obtain Approval of a Fee for Representing a Social Security Claimant, which is completed by the representative and Form SSA-1560A, Authorization to Charge and Receive a Fee, which is prepared by the Social Security Administration.

Systems exempted from certain provisions of the act: None.

09-60-0103

System name: Supplemental Security Income Record HEW SSA OPO.

Security classification: None.

System location:

Bureau of Data Processing
6401 Security Boulevard
Baltimore, Maryland 21235
District Offices, Branch Offices and BSSI Regional Offices
(See Appendices D and F)

Categories of individuals covered by the system: This file contains a record for each aged, blind, or disabled individual who has applied for supplemental security income payments.

Categories of records in the system: This file contains data regarding eligibility, citizenship, residence, eligibility for other benefits, alcoholism or drug addiction data (if applicable), income data, resources, payment amounts and living arrangements for all persons who have applied for SSI payments.

Authority for maintenance of the system: Section 1631 of Title XVI of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information from this file is used by the Treasury Department to prepare supplemental security income benefit checks, and by the States to establish the minimum income level for computation of State supplement. Minimum information necessary to identify SSI applicants and recipients to the following Federal and State agencies for their use in preparing information for verification of eligibility for benefits under section 1631(e): Bureau of Indian Affairs; Civil Service Commission; Department of Agriculture; Department of Labor; Immigration and Naturalization Service; Internal Revenue Service; Railroad Retirement Board; State Pension Funds; State Welfare Offices; State Workmen's Compensation; Department of Defense; United States Coast Guard; and, Veterans Administration. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual; State Vocational Rehabilitation agency, or State crippled children's agency (or another agency providing services to disabled children) for the consideration of rehabilitation services per 42 U.S.C. 422 and 1382d; Contractors under contract to the Social Security Administration or under contract to another agency with funds provided by the Social Security Administration for the performance of research and statistical activities directly relating to the Social Security Act; State audit agencies for auditing State supplementation payments and Medicaid eligibility consideration. The Veterans Administration of information requested for purposes of determining eligibility for or amount of VA benefits or verifying other information with respect thereto; the Railroad Retirement Board for administering the Railroad Unemployment Insurance Act. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected. In response to legal process or interrogatories relating to the enforcement of an individual's child support or alimony obligations, as required by sections 459 and 461 of the Social Security Act.

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

Storage: Magnetic Tape, microfiche.

Retrievability: Magnetic tape and Microfiche indexed by social security number. Supplemental security income records begin in the

social security district office where an individual files an application for supplemental security income payments. This application contains data which may be used to prove the identity of the applicant, determine his eligibility for SSI payments and in cases where eligibility is determined, to compute the amount of the payment. Information from the application in addition to data used internally to control and process SSI cases is used to create the Supplemental Security Income Record. The Supplemental Security Income Record is also used as a means of providing a historical record of all activity on a particular individual. In addition, statistical data is derived from the Supplemental Security Income Record for actuarial and management information purposes.

Safeguards: The magnetic tape records are protected through standard security measures used for all computer records housed within the Social Security Administration. The microfiche are stored in a locked rack, kept in a locked room, and only personnel having a need for information have access. For computerized records, electronically transmitted between Central Office and field office locations (including organizations administering SSA programs under contractual agreements), systems securities are established in accordance with Departmental standards and National Bureau of Standards guidelines. Safeguards include a lock/unlock password system, exclusive use of leased telephone lines, a terminal oriented transaction matrix, and an audit trail.

Retention and disposal: Original input transaction tapes received which contain initial claims and posteligibility actions are retained indefinitely although these are processed as received and incorporated into processing tapes which are updated to the master supplemental security income tape file on a monthly basis.

System manager(s) and address:

Director, Bureau of Supplemental Security Income
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: Social Security District Offices and Branch Offices (See Appendix F). An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: The information contained within the Supplemental Security Record is obtained for the most part from the applicant for SSI payments and is derived from the claims folder.

Systems exempted from certain provisions of the act: None.

09-60-0104

System name: Supplemental Security Income Claims Data HEW SSA OPO.

Security classification: None.

System location:

Bureau of Data Proecssing
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: This file contains a record for each aged, blind, or disabled individual who has applied for supplemental security income payments.

Categories of records in the system: This file contains data regarding eligibility, citizenship, residence, eligibility for other benefits, alcoholism or drug addiction data (if applicable), income data, resource, payment amounts and living arrangements for all persons who have applied for SSI payments.

Authority for maintenance of the system: Section 1631 of Title XVI of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information from this file is used by the Treasury Department to prepare supplemental security income benefit checks, and by the States to establish the minimum income level for computation of State supplement. Minimum information necessary to identify SSI applicants and recipients to the following Federal and State agencies for their use in preparing information for verification of eligibility for benefits under section 1631(e): Bureau of Indian Affairs, Civil Service Commission, Department of Agriculture, Department of Labor; Immigration and Naturalization Service, Internal Revenue Service, Railroad Retirement Board, State Pension Funds, State Welfare Offices, State Workmen's Compensation, Department of Defense, United States Coast Guard, and Veterans Administration. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. State Vocational Rehabilitation agency, or State crippled children's agency (or another agency providing services to disabled children) for the consideration of rehabilitation services per 42 U.S.C. 422 and 1382d. Contractors under contract to the Social Security Administration or under contract to another agency with funds provided by the Social Security Administration for the performance of research and statistical activities directly relating to the Social Security Act. State audit agencies for auditing State supplementation payments and Medicaid eligibility consideration. The Veterans Administration of information requested for purposes of determining eligibility for or amount of VA benefits or verifying other information with respect thereto, the Railroad Retirement Board for administering the Railroad Unemployment Insurance Act. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components, or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Magnetic disc.

Retrievability: Magnetic disc indexed by social security number. The online claims data are used to expeditiously provide supplemental security income data, upon request, to social security field offices around the nation.

Safeguards: The magnetic disc records are protected through standard security measures used for all computer records housed within the Social Security Administration--limited employee access to specific authorization by individual. For computerized records, electronically transmitted between Central Office and field office locations (including organizations administering SSA programs under contractual agreements), systems securities are established in accordance with Departmental standards and National Bureau of Standards guidelines. Safeguards include a lock/unlock password system, exclusive use of leased telephone lines, a terminal oriented transaction matrix, and an audit trail.

Retention and disposal: The online claims data are retained for an indefinite period.

System manager(s) and address:

Director, Bureau of Supplemental Security Income
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: Social security district offices and branch offices (see Appendix F). An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: From materials in the appropriate claims file.

Systems exempted from certain provisions of the act: None.

09-60-0105

System name: Claims Currently in Process File (Supplemental Security Income) HEW SSA OPO.

Security classification: None.

System location:

Bureau of Data Processing
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: This file contains a record for each aged, blind, or disabled individual who has applied for supplemental security income payments.

Categories of records in the system: The Cases Currently In Process File contains eligibility, alcoholism and drug addiction data (if applicable), case folder location and appellate decisions.

Authority for maintenance of the system: Sections 1602, 1611, 1615, 1616 and 1631 of Title XVI of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Magnetic tape.

Retrievability: Magnetic tape records are indexed by social security number. The Cases Currently In Process file is created from the supplemental security income master record. It contains primarily eligibility and case folder location data for internal control purposes within the Social Security Administration.

Safeguards: The magnetic tape records are protected through standard security measures used for all computer records housed within the Social Security Administration--limited employee access for specific authorization on an individual basis.

Retention and disposal: Data contained within the Cases Currently In Process file are retained indefinitely.

System manager(s) and address:

Director
Bureau of Supplemental Security Income
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: Contact the Systems Manager and provide name, social security number, identify the systems name, and pertinent information about your case. An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information contained within the cases currently in process file is derived from the supplemental security income master record which for the most part, is provided by applicants for supplemental security income payments.

Systems exempted from certain provisions of the act: None.

09-60-0107

System name: Claims Index File (Supplemental Security Income) HEW SSA OPO.

Security classification: None.

System location:

Bureau of Data Processing
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: The Claims Index File contains a record for each identifying number relating to any aged, blind, or disabled individual who has applied for supplemental security income payments.

Categories of records in the system: The Claims Index File contains identifying data including type of eligibility, internal location data and social security numbers which may be used to identify a particular individual.

Authority for maintenance of the system: Section 1631 of Title XVI of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Magnetic Tape.

Retrievability: Magnetic Tape indexed by social security number. Since many records enter the supplemental security income system under an identifying number other than the correct supplemental security income case number, the system must have the capability of locating the correct case number in order to properly process the case. The Index File provides this capability in addition to eliminating the possibility of the accretion of duplicate numbers on the supplemental security income master record.

Safeguards: The magnetic tape records are protected through standard security measures used for all computer records housed within the Social Security Administration--limited employee access to specific authorization by individual.

Retention and disposal: Magnetic tape records are maintained for an indefinite period.

System manager(s) and address:

Director, Bureau of Supplemental Security Income
Social Security Administration
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: Contact the Systems Manager and provide name, social security number, identify the systems name, and pertinent information about your case.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411).

Record source categories: The claims index file contains information which is provided by applicants for supplemental security income payments on the initial claims applications.

Systems exempted from certain provisions of the act: None.

09-60-0108

System name: Advance Payment File (Supplemental Security Income) HEW SSA OPO.

Security classification: None.

System location:

Bureau of Data Processing
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: The Advance Payment File contains a record for each aged, blind, or disabled individual who has applied for supplemental security income payments and has requested an advance payment.

Categories of records in the system: The Advance Payment File contains identifying data including the type of eligibility, internal location data and the amount and date of the advance payment.

Authority for maintenance of the system: Sections 1602, 1611, and 1631(a) of Title XVI of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Magnetic disc.

Retrievability: Magnetic disc is indexed by social security number. The Advance Payment File is used as a preventive measure against the issuance of duplicate advance supplemental security income payments to an individual.

Safeguards: The magnetic disc records are protected through standard security measures used for all computer records housed within the Social Security Administration--limited employee access by specific authorization on an individual basis.

Retention and disposal: The Advance Payment File is retained for an indefinite period.

System manager(s) and address:

Director
Bureau of Supplemental Security Income
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: Contact the Systems Manager and provide name, social security number, identify the systems name, and pertinent information about your case.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: The advance payment file contains information which is provided by applicants for supplemental security income advance payments.

Systems exempted from certain provisions of the act: None.

09-60-0109

System name: Overpayment File (Supplemental Security Income) HEW SSA OPO.

Security classification: None.

System location:

Bureau of Data Processing
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: Any supplemental security income payment recipient having a potential supplemental security income overpayment.

Categories of records in the system: The Supplemental Security Income Overpayment File contains data regarding eligibility, citizenship, residence, eligibility for other benefits, alcoholism and drug addiction data (if applicable), income data, resources, payment amounts, overpayment amounts, and living arrangements for all persons who have applied for supplemental security income payments.

Authority for maintenance of the system: Sections 1602 and 1631(b) of Title XVI of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The Supplemental Security Overpayment File is used to maintain a historical record of overpayment data for all supplemental security income recipients, and in processing bills to the respective States for their share of supplemental security income overpayments. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual and to State audit agencies pursuant to agreements with HEW for auditing state supplementation payments. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Magnetic tape.

Retrievability: Magnetic tape is accessed by social security number. Within the Social Security Administration, the file is used to alert the social security district offices of potentially overpaid supplemental security income recipients.

Safeguards: The magnetic tape records are retained in secure storage areas accessible only to authorized persons within the Bureau of Data Processing. The storage area is controlled by Marshalls responsible for insuring that only authorized personnel are admitted. Official identification badges or passes are required to gain entrance to the storage area. All employees having access to records have been notified of criminal sanctions for unauthorized disclosure of information on individuals.

Retention and disposal: The Supplemental Security Income Overpayment File is retained for an indefinite period.

System manager(s) and address:

Director
Bureau of Supplemental Security Income
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: Contact the Systems Manager and provide name, social security number, identify the systems name, and pertinent information about your case. An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These

notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: The data contained within the supplemental security income overpayment file is derived from the supplemental security income master record which, for the most part, is provided by applicants for supplemental security income payments.

Systems exempted from certain provisions of the act: None.

09-60-0110

System name: Supplemental Security Income File of Refunds HEW SSA OPO.

Security classification: None.

System location:

Bureau of Supplemental Security Income
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: This file contains refund records for any aged, blind, or disabled individual who was overpaid or not entitled.

Categories of records in the system: This file contains information about refunds sent in by persons who were overpaid or not entitled to Supplemental Security Income payments they received. Specific information is name of individual, social security number, date of refund, and amount of refund.

Authority for maintenance of the system: Sections 1602, 1611, and 1631 of Title XVI of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The file is established after the money received has been recorded and deposited in the Federal Reserve Bank. The money refunded is broken down into Federal share and State share for accounting purposes. The information is input to the electronic system to be matched against the same information being entered by district offices. This serves as an audit. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual and to State audit agencies pursuant to agreements with HEW for auditing State supplementation payments. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components, or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: The source document is filed in standard filing cabinets by bank deposit schedule number. The cross reference listing, in social security number sequence, by month is maintained in binders. This information is keyed directly onto tape which is kept in SSA'S tape library. The tapes are used to prepare the cross reference listings and to input the information into the system. The manual file is maintained in social security number sequence so that inquiries and refunds from district offices can be answered.

Retrievability: Listings referenced by social security number.

Safeguards: The source documents and listings are kept in an area which is secured at night--doors locked. Information is only furnished to other Social Security Administration components with limited access by employees on a need-to-know basis. The magnetic tapes are retained in secure storage areas accessible only to authorized persons within the Bureau of Data Processing. The storage area is controlled by marshalls responsible for insuring that only authorized personnel are admitted. Official identification badges or passes are required to gain entrance to the storage area. All employers having access to records have been notified of criminal sanctions for unauthorized disclosure of information on individuals.

Retention and disposal: The source documents and listings are being held indefinitely. Eventually they will be retired to the Federal Record Center. The tapes are stored in the Social Security tape library.

System manager(s) and address:

Director, Bureau of Supplemental Security Income
Social Security Administration
6401 Security Boulevard
BAltimore, Marvland 21235

Notification procedure: Contact the Systems Manager and provide name, social security number, the systems name, and pertinent information about your case.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: The receipt form completed by an employee in the social security district office plus the actual check, money order, etc., used to remit the money.

Systems exempted from certain provisions of the act: None.

09-60-0111

System name: Debit Voucher File (Supplemental Security Income) HEW SSA OPO.

Security classification: None.

System location:

Bureau of Supplemental Security Income
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: The file contains a record for aged, blind, or disabled individuals who have negotiated two checks for the same month incorrectly or who have refunded money to the Bureau of Supplemental Security Income by check only to have their checks bounce.

Categories of records in the system: The GFO-5504, Debit Voucher, is sent to the Bureau of Supplemental Security Income from the Department of Treasury billing the Social Security Administration for additional monies expended on their behalf. It contains the identification of the individual, name and social security number, and amount of money involved.

Authority for maintenance of the system: Sections 1602, 1611 and 1631 of Title XVI of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: After the Bureau of Supplemental Security Income has paid the Department of Treasury for the requested funds, the overpayment data are entered into the electronic system. The original documents (photocopies of erroneously negotiated checks sent by Treasury as well as copies of bounced checks submitted by individuals in payment of overpayments) are filed for future reference by the Social Security District and Branch Offices when they attempt to collect the money from the overpaid individual. A cross-reference listing on the social security number is maintained. The money amount is allocated to the Federal share and State share for accounting purposes. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual and to State audit agencies pursuant to agreements with HEW for auditing State supplementation payments. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any em-

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

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

Storage: File cabinets and binders.

Retrievability: The listing is in social security number sequence.

Safeguards: Access limited to employees on need to know basis. Area secured at night--doors locked.

Retention and disposal: The records are being held indefinitely. They will eventually be retired to the Federal Records Center.

System manager(s) and address:

Director, Bureau of Supplemental Security Income
Social Security Administration
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: Contact the Systems Manager and provide name, social security number, identify the systems name, and pertinent information about your case.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Bureau of Government Financial Operations of the Department of the Treasury.

Systems exempted from certain provisions of the act: None.

09-60-0113

System name: Supplemental Security Income Priority Correspondence Staff Files HEW SSA OPO.

Security classification: None.

System location:

Bureau of Supplemental Security Income
6401 Security Blvd.
Baltimore, Maryland 21235

Categories of individuals covered by the system: Aged, Blind, or Disabled--Eligibles and non-eligibles under Supplemental Security Income program Third parties who have written on behalf of Supplemental Security Income categories, and other interested citizens.

Categories of records in the system: Reports, in letter form, concerning individual Supplemental Security Income and Social Security Administration Claims status.

Authority for maintenance of the system: Sections 1602 and 1631 of Title XVI of the Social Security Act as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity, (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components, or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Paper - photocopy of incoming carbon copies of replies in metal file cabinets.

Retrievability: Index by name used as reference for files for replying to written inquiries.

Safeguards: Social Security Administration employees only have access, access is cleared by Staff Chief. Office is locked during non-business hours. Staff trained in confidentiality of individual's records.

Retention and disposal: One year. Disposed of by paper shredding.

System manager(s) and address:

Director
Bureau of Supplemental Security Income
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure:

Director
Bureau of Supplemental Security Income
6401 Security Boulevard
Baltimore, Maryland 21235

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Supplemental Security Income claims records, Social Security Administration claims records, Supplemental Security record (automated), Individual himself, Social Security Administration district offices.

Systems exempted from certain provisions of the act: None.

09-60-0114

System name: State Data Exchange System (Supplemental Security Income) HEW SSA OPO.

Security classification: None.

System location: State Data Exchange files are maintained by all State welfare agencies (see Appendix D). In addition, backup files (magnetic tape) are maintained for a limited period of time (90 days) within the Bureau of Data Processing, 6401 Security Boulevard, Baltimore, Maryland 21235. Printed copies of the State Data Exchange record are located in some district and branch offices.

Categories of individuals covered by the system: The State Data Exchange file contains a record for each public welfare recipient who has applied for supplemental security income payments.

Categories of records in the system: The State Data Exchange file for each State contains data regarding eligibility, medicaid eligibility, eligibility for other benefits, alcoholism and drug addiction data (if applicable), income data, resources, payment amounts and living arrangements for all persons who have applied for supplemental security income payments who reside in that particular State.

Authority for maintenance of the system: Sections 1611, 1612, 1615, 1616, 1631(e), 1633, and 1634 of Title XVI of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The State Data Exchange file is created from the supplemental security income master record. It is comprised of eligibility and payment information obtained by the Social Security Administration in the administration of the supplemental security income program. The State Data Exchange file provides for timely exchange of data between the Social Security Administration and the States in order to establish and maintain State supplementation of supplemental security income payments and medicaid rolls, and for use in the food stamp program in the States of California, Nevada and New York for locating potentially eligible individuals and for making determinations of eligibility. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the opera-

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

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

Storage: Magnetic tape, microfilm, paper listings.

Retrievability: Magnetic tape, microfilm and paper listings are all indexed according to social security number, State welfare identification number, category (aged, blind or disabled), county, or surname in order to supply information to the States in accordance with program administration agreements, and for the Social Security Administration management purposes. The printed copy of the State Data Exchange is used by district and branch office personnel for reference purposes and for answering inquiries.

Safeguards: All State Data Exchange records are protected according to agreements made between the Social Security Administration and the respective States regarding confidentiality, use, and redisclosure Paper copies are accessible only to employees on a need to know basis

Retention and disposal: Instructions provided to the States call for duplication by the States of files provided by the Social Security Administration The period of retention of State Data Exchange files by the States is determined by the respective States.

System manager(s) and address:

Director, Bureau of Supplemental Security Income
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: Social Security District Offices and Branch Offices (see Appendix F); or contact State official (see Appendix D) An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b 7) Federal Register, October 8, 1975, page 47411.).

Record source categories: The information contained on the State Data Exchange files is derived from data on the supplemental security income master record which is obtained for the most part from applicants for supplemental security income payments. Additionally, the various States provide a limited amount of data.

Systems exempted from certain provisions of the act: None.

09-60-0115

System name: Supplemental Security Income Audit Trail Microfiche OPO.

Security classification: None.

System location: Bureau of Data Processing, Supplemental Security Income Payment Record Data Branch.

Categories of individuals covered by the system: This file contains a record for each aged, blind and disabled individual who has applied for supplemental security income payments.

Categories of records in the system: This file contains data regarding eligibility, citizenship, residence, eligibility for other benefits, alcoholism or drug addiction data (if applicable), income data, resources, payment amounts and living arrangements for all persons who have applied for supplemental security income payments. In addition, changes which are subsequently received which have an effect on any of the above categories are also maintained within this record.

Authority for maintenance of the system: Sections 1602 and 1631 of Title XVI of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual and to State audit agencies pursuant to agreements with HEW for auditing State supplementation payments. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Microfiche.

Retrievability: The microfiche is indexed by social security number The Supplemental Security Income Audit Trail Microfiche is used to provide complete historical data for each Supplemental Security Income master record. This data includes transactions which effectuate changes to the Supplemental Security Income master record.

Safeguards: The microfiche records are stored in locked file cabinets, and are accessible to employees on a need to know basis.

Retention and disposal: The Supplemental Security Income Audit Trail Microfiche is retained for an indefinite period.

System manager(s) and address:

Director, Bureau of Supplemental Security Income
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: Inquiries should be addressed to the system manager, and should include the individual's full name and social security number An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: The information contained within the Supplemental Security Income Audit Trail Microfiche is derived from the Supplemental Security Income master record which for the most part, is obtained from the applicant for Supplemental Security Income payments.

Systems exempted from certain provisions of the act: None.

09-60-0117

System name: Age at First Payment of Retirement Insurance Benefit HEW SSA OPP.

Security classification: None.

System location:

Bureau of Data Processing
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: Recently entitled retirement insurance beneficiaries.

Categories of records in the system: Payment history and demographic information

Authority for maintenance of the system: Section 702 of the Social Security Act. (42 USC Sec. 902).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Data are stored on magnetic tape.

Retrievability: Individual records are identified by claim account number for statistical uses.

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

Retention and disposal: This system is updated infrequently and magnetic tapes are returned to blank stock.

System manager(s) and address:

Deputy Chief Actuary, Short-Range Estimates
Office of the Actuary, Social Security Administration
6401 Security Boulevard
Baltimore, Maryland 21235

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

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Master benefit record.

Systems exempted from certain provisions of the act: None.

09-60-0118

System name: Non-Contributory Military Service Reimbursement System HEW SSA OPP.

Security classification: None.

System location:

Bureau of Data Processing
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: A sample of beneficiaries who have non-contributory military service credits.

Categories of records in the system: Covered earnings, benefit and payment status.

Authority for maintenance of the system: Section 217, 229, and 231 of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Data are stored on magnetic tape.

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

Safeguards: All mag-tape files are retained in secure storage areas accessible only to authorized persons within the Bureau of Data Processing and Data Development, Office of Management Administration and Office of the Actuary. All employees having access to records have been notified of criminal sanctions for unauthorized disclosure of information on individuals.

Retention and disposal: This system is updated annually. At this time, we have no provision for the disposal of individual records.

System manager(s) and address:

Deputy Chief Actuary, Short-Range Estimates
Office of the Actuary, Social Security Administration
6401 Security Boulevard
Baltimore, Maryland 21235

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

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Social Security Administration master beneficiary record, Social Security Administration summary earnings record, Social Security Administration claims folder.

Systems exempted from certain provisions of the act: None.

09-60-0119

System name: Special Age 72 Benefit Trust Fund Transfer Project HEW SSA OPP.

Security classification: None.

System location:

Bureau of Data Processing
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: Includes all individuals entitled under the Prouty amendments.

Categories of records in the system: Benefit entitlement, demographic information, and earnings records.

Authority for maintenance of the system: Section 223 of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Data are stored on magnetic tape.

Retrievability: Individual records are identified by claim account number. To determine an amount of money to be transferred from

General Revenue to the Old Age and Survivors Insurance Trust Fund.

Safeguards: All magnetic tapes are retained in secure storage areas accessible only to authorized persons within the Bureau of Data Processing and Data Development. All employees having access to records have been notified of criminal sanctions for unauthorized disclosures of information on individuals.

Retention and disposal: This system is updated periodically and magnetic tapes are eventually returned to blank stock.

System manager(s) and address:

Deputy Chief Actuary, Short-Range Estimates
Office of the Actuary, Social Security Administration
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: For purposes of access the claim account number is required, write to the systems manager.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Master beneficiary record, earnings record.

Systems exempted from certain provisions of the act: None.

09-60-0120

System name: Health Insurance Benefit and Actuarial Sample Control System HEW SSA OPP.

Security classification: None.

System location:

Bureau of Data Processing
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: A sample of persons who have received Medicare benefits.

Categories of records in the system: Record contains a limited number of fields from bill files.

Authority for maintenance of the system: Section 702 of the Social Security Act. (42 USC Sec. 902).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Data are stored on magnetic tape.

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

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

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

System manager(s) and address:

Director of Health Insurance Studies
Office of the Actuary, Social Security Administration
6401 Security Boulevard
Baltimore, Maryland 21235

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

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Health Insurance Master File.

Systems exempted from certain provisions of the act: None.

09-60-0121

System name: Actuarial Sample Health Insurance and Supplementary Medical Insurance (Medicare) HEW SSA OPP.

Security classification: None.

System location:

Office of the Actuary
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: A 0.1 sample of persons who have received Medicare benefits.

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

Authority for maintenance of the system: Section 1875 of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Forms are kept in manila folders in the Office of the Actuary (Medicare).

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

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

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

System manager(s) and address:

Director of Health Insurance Studies

Office of the Actuary, Social Security Administration
6401 Security Boulevard
Baltimore, Maryland 21235

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

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

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

Systems exempted from certain provisions of the act: None.

09-60-0122

System name: Actuarial Sample Hospital Stay Record Study HEW SSA OPP.

Security classification: None.

System location:

Bureau of Data Processing
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: A 0.1 sample of persons who have received hospital insurance benefits.

Categories of records in the system: Information is obtained from inpatient hospital and extended care admission, and inpatient admission and billing forms.

Authority for maintenance of the system: Section 1875 of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Data are stored on magnetic tape.

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

Safeguards: All mag-tape files are retained in secure storage areas--accessible only to authorized persons within the Bureau of Data Processing and Data Development, Office of Management and Administration. All employees having access to records have been notified of criminal sanctions for unauthorized disclosure of information on individuals.

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

System manager(s) and address:

Director of Health Insurance Studies
Office of the Actuary, Social Security Administration
6401 Security Boulevard
Baltimore, Maryland 21235

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

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

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

Systems exempted from certain provisions of the act: None.

09-60-0123

System name: Actuarial Sample of Supplementary Medical Insurance Payments HEW SSA OPP.

Security classification: None.

System location:

Bureau of Data Processing
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: A sample of records for persons who have received benefits under the supplemental medical insurance provisions of the Medicare program.

Categories of records in the system: The record contains only the information included in a payment record.

Authority for maintenance of the system: Section 702 of the Social Security Act. (42 USC Sec. 902).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: Data are stored on magnetic tape.

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

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

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

System manager(s) and address:

Director of Health Insurance Studies
Office of the Actuary, Social Security Administration
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: For purposes of access the claim account number is required, write to the systems manager.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Supplemental medical insurance payment record.

Systems exempted from certain provisions of the act: None.

09-60-0128

System name: Retirement, Survivors and Disability Insurance Claims Study HEW SSA OPP.

Security classification: None.

System location:

Bureau of Data Processing
6401 Security Boulevard
Baltimore, Maryland 21235

Evaluation and Measurement Staff
6300 Security Blvd.
Baltimore, Md. 21235

Social Security Administration Program Service Centers
and Division of International Operations (see Appendix A).

Bureau of Disability Insurance
Baltimore, Maryland 21241

Categories of individuals covered by the system: National stratified probability sample (900 cases per month) of individuals allowed or denied benefits, as well as those awarded lump sum death benefits, beginning November 1964 for retirement and survivors claims, May 1966 for disability claims.

Categories of records in the system: Demographic characteristics of beneficiary, description of allegations, evidence and findings, and case control data.

Authority for maintenance of the system: Section 205 of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Contacting third parties for verification of information given by claimants. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

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

Storage: All information is recorded on magnetic tape and claims folders are returned to program centers.

Retrievability: Identification sequence number. This is a study to evaluate the effectiveness of retirement, survivors, and disability insurance program policies. Data from this study are compiled for evaluative purposes, and subsequently stored in the claims folders. Adverse data received in the conduct of this study may be used to review earlier claims or post adjudicative decisions.

Safeguards: All folders are kept in secure areas, accessible only to Evaluation and Measurement Staff personnel (i.e. statisticians, analyst and programmer). For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines (e.g. security codes) will be used, limiting access to authorized personnel.

Retention and disposal: Disposal of file folders is conducted in accordance with Social Security Administration guidelines for Title II claims, while magnetic tapes are held for 5 years before being erased.

System manager(s) and address:

Chief, Evaluation and Measurement Staff, OPP
Social Security Administration
6300 Security Boulevard
Baltimore, Md. 21235

Notification procedure: For purposes of access, write the systems manager, he will require name of system, social security number, and, for verification purposes, name (woman's maiden name, if applicable), address, date of birth and sex, and to ascertain whether the individual's record is in the system, the month and year in which the individual was allowed or denied benefits (retirement or disability).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Master beneficiary record, summary earnings record, supplemental security record, Title II claims folders, survey data collected by Social Security Administration employees.

Systems exempted from certain provisions of the act: None.

09-60-0129

System name: Adjudication of Supplemental Security Income Claims Study HEW SSA OPP.

Security classification: None.

System location:

Bureau of Data Processing
6401 Security Boulevard
Baltimore, Maryland 21235

Evaluation and Measurement Staff
Office of Research and Statistics
6300 Security Boulevard
Baltimore, Maryland 21235
Social Security Administration Program Service Centers
and Division of International Operations (see Appendix A)

Bureau of Disability Insurance
Baltimore, Maryland 21241

Categories of individuals covered by the system: National stratified probability sample of individual allowed or denied supplemental activity income benefits since January 1975.

Categories of records in the system: Demographic characteristics of the beneficiary, description of allegations, evidence and findings, and case control data.

Authority for maintenance of the system: Sections 205 and 1631 of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Contacting third parties for verification of information given by claimants. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

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

Storage: All records are stored on magnetic tape.

Retrievability: Identification sequence number. This is a study to evaluate the effectiveness of supplemental security income program policies. Data from this study are compiled for evaluation purposes and subsequently stored in the claims folders. Adverse data received in the conduct of this study may be used to review earlier claims or post adjudicative decisions.

Safeguards: All folders are kept in secure areas, accessible only to Evaluation and Measurement Staff personnel (i.e. statisticians, analyst and programmer). For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines (e.g. security codes) will be used, limiting access to authorized personnel.

Retention and disposal: Disposal of file folders is conducted in accordance with Social Security Administration guidelines for Title XVI claims, while magnetic tapes are held for 5 years before being erased.

System manager(s) and address:

Chief, Evaluation and Measurement Staff, OPP
Social Security Administration
6300 Security Boulevard
Baltimore, Md. 21235

Notification procedure: For purposes of access, write the systems manager; he will require name of system, social security number, and, for verification purposes, name (woman's maiden name, if applicable), address, date of birth and sex, and to ascertain whether the individual's record is in the system, the month and year in which the individual was allowed or denied supplemental security income benefits.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Master beneficiary record, summary earnings record, supplemental security record, Title II, XVI claims folders, survey data collected by Social Security Administration employees.

Systems exempted from certain provisions of the act: None.

09-60-0130

System name: Quality of Service Measurement Program Based Upon Consumer Opinions HEW SSA OPP.

Security classification: None.

System location:

Bureau of Data Processing
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: This system will contain data to be taken at periodic intervals from samples of recipients of social security (including Medicare) and supplemental security income benefits, applicants for benefits, and visitors and callers to the social security local offices and teleservice centers.

Categories of records in the system: Consumer opinions and perceptions of services provided to the public.

Authority for maintenance of the system: Section 702 of the Social Security Act. (42 USC Sec. 902).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To contractor for performance of research and statistical operations as required by contract.

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

Storage: Computer records on magnetic tape, sample listings, and questionnaires.

Retrievability: Records will be indexed by social security number or name.

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

Retention and disposal: Identifiers will be removed from all records as soon as data collection process is complete.

System manager(s) and address:

Chief, Evaluation and Measurement Staff, OPP
Social Security Administration
6300 Security Boulevard
Baltimore, Md. 21235

Notification procedure: For purposes of access, write the systems manager; he will require name of system, social security number, and for verification purposes, name (woman's maiden name, if applicable), address, date of birth and sex, and to ascertain whether the individual's record is in the system, an indication of whether or not the individual had ever filed for social security benefits and if so, when, and whether the individual had ever contacted local social security offices or telecenters.

Record access procedures: Same.

Contesting record procedures: Same.

Record source categories: Master beneficiary record; supplemental security record; administrative disallowance list prepared within the program center; denial record (831); continuing disability investigation form (833); data to be collected by contractor; case folders.

09-60-0134

System name: Medicare Bill File (Statistics) HEW SSA OPP.

Security classification: None.

System location:

Bureau of Data Processing
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: Persons enrolled in health or supplemental medical benefits parts of the Medicare program.

Categories of records in the system: Bill data; demographic data on the beneficiary; diagnosis and surgery codes on a sampling of the population; hospital characteristics, when applicable, on a sample of persons treated as inpatients; skilled nursing home characteristics.

Authority for maintenance of the system: Section 1875 of the Social Security Act. (42 USC Sec. 1395LL).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. To the Bureau of Census for use in processing research and statistical data directly related to the administration of Social Security programs. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: All records are stored on magnetic tape.

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

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

Retention and disposal: Records are maintained with identifiers as long as needed for program research.

System manager(s) and address:

Assistant Administrator for Policy, Planning and Research
Health Care Financing Administration
Room 5090 HEW South Building
330 C Street SW
Washington, D.C. 20201

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

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

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

Systems exempted from certain provisions of the act: None.

09-60-0135

System name: Medicare Enrollment Records (Statistics) HEW SSA OPP.

Security classification: None.

System location:

Bureau of Data Processing
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: All persons enrolled for hospital or supplemental medical benefits under the Medicare program. The file contains 22,000,000 persons including subsets of 2.4 million enrollees for whom the State has paid the premiums and 300,100 enrollees who are members of direct dealing group practice pre-payment plans.

Categories of records in the system: Enrollment characteristics of the beneficiaries, demographic characteristics.

Authority for maintenance of the system: Section 1875 of the Social Security Act (42 USC Sec. 1395LL).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. To the Bureau of Census for use in processing research and statistical data directly related to the administration of Social Security programs. To an organization under contract with the Social Security Administration, information necessary to enable the contractor to comply with the conditions of the agreement to perform research and statistical functions. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity, (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: All records are stored on magnetic tape.

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

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

Retention and disposal: Records are retained with identifiers as long as needed for program research analysis.

System manager(s) and address:

Assistant Administrator for Policy, Planning and Research
Health Care Financing Administration
Room 5090 HEW South Building
330 C Street SW
Washington, D.C. 20201

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

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Master beneficiary record, Medicare enrollment records.

Systems exempted from certain provisions of the act: None.

09-60-0136

System name: Health Insurance Enrollment Statistics--General Enrollment Period HEW SSA OPP.

Security classification: None.

System location:

Bureau of Data Processing
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: All persons who are eligible for Supplementary Medical Insurance coverage but have declined such coverage.

Categories of records in the system: Limited demographic data (sex, date of birth, State and county of residence).

Authority for maintenance of the system: Section 1875 of Title XVIII of the Social Security Act (42 USC Sec. 1395LL).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity, (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components, or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: All records are stored on magnetic tape.

Retrievability: All records are indexed by health insurance claim number.

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

Retention and disposal: Tapes are retained with identifiers as long as needed for program research.

System manager(s) and address:

Assistant Administrator for Policy, Planning and Research
Health Care Financing Administration
Room 5090 HEW South Building
330 C Street SW
Washington, D.C. 20201

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

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Health Insurance Master Beneficiary File.

Systems exempted from certain provisions of the act: None.

09-60-0137

System name: Supplementary Medical Sample Bill Summary File of Medicare Utilization (Statistics) HEW SSA OPP.

Security classification: None.

System location:

Bureau of Data Processing
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: A 5 percent sample of Medicare beneficiaries who have received any supplementary medical (Medicare) services January 1, 1975, or later.

Categories of records in the system: Physician and supplier billing information.

Authority for maintenance of the system: Section 1875 of the Social Security Act (42 USC Sec 1395LL).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity, (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components, or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

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

Storage: All records are stored on magnetic tape.

Retrievability: All records are indexed by claim number.

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

Retention and disposal: Records are retained with identifiers as long as needed for purposes of program research.

System manager(s) and address:

Assistant Administrator for Policy, Planning and Research
Health Care Financing Administration
Room 5090 HEW South Building
330 C Street SW
Washington, D C 20201

Notification procedure: For purposes of access, write the systems manager, he will require name of system, health insurance claim number, and for verification purposes, name (woman's maiden name, if applicable), social security number, address, date of birth and sex, and to ascertain whether the individual's record is in the system, date (month and year) on which supplementary medical services were received.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Baltimore, Maryland 21235

Record source categories: Medicare claims submitted to carriers.

Systems exempted from certain provisions of the act: None.

09-60-0138

System name: Group Practice Prepayment Plan Line Item Sample of Medicare Utilization (Statistics) HEW SSA OPP.

Security classification: None.

System location:

Office of Data Development
6401 Security Blvd.
Baltimore, Maryland 21235

Categories of individuals covered by the system: Members of the Group Practice Prepayment Plans which deal directly with the Social Security Administration, sample sizes for individual plans are based on size of the plan.

Categories of records in the system: Beneficiary identification data, type and place of service, physician specialty.

Authority for maintenance of the system: Section 1875 of the Social Security Act (42 USC Sec. 1395LL).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity, (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components, or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: All records are stored on magnetic tape.

Retrievability: All records are indexed by health insurance claim number.

Safeguards: For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines (e.g. security codes) will be used, limiting access to authorized personnel.

Retention and disposal: Tapes are retained with identifiers as long as needed for purposes of program research.

System manager(s) and address:

Assistant Administrator for Policy, Planning and Research
Health Care Financing Administration
Room 5090 HEW South Building
330 C Street SW
Washington, D.C. 20201

Notification procedure: For purposes of access, write the systems manager; he will require name of system, health insurance claim number, and for verification purposes, name (woman's maiden name, if applicable), address, social security number, date of birth and sex, and to ascertain whether the individual's record is in the system, name of the Group Practice Prepayment Plan of which he is a member.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Data obtained from Form SSA-1590, Group Practice Plan Utilization Listing of Social Security Medical Insurance Services, and Form SSA-1591, Group Practice Plan Individual Patient Utilization Request of Social Security Medical Insurance Services.

Systems exempted from certain provisions of the act: None.

09-60-0141

System name: Current Medicare Survey (Statistics) HEW SSA OPP.

Security classification: None.

System location:

Bureau of Data Processing
6401 Security Boulevard
Baltimore, Maryland 21235

Office of Research and Statistics
6300 Security Boulevard
Baltimore, Maryland 21235

Wilkes Barre Punching Branch
Social Security Administration, VA Building
19 N. Main Street
Wilkes Barre, Pennsylvania 18701

Bureau of Census
Washington, DC

Categories of individuals covered by the system: Sample of aged (since 1966) and disability (since 1971) beneficiaries entitled to Medicare, and interview status.

Categories of records in the system: Demographic characteristics; health services (types and costs) used by Medicare beneficiaries, and interview status.

Authority for maintenance of the system: Section 1875 of the Social Security Act. (42 USC Sec.1395LL).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosures from this system are made to the Bureau of Census when it performs as a collecting agent or data processor for research and statistical purposes directly relating to the Social Security Act. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: All records are stored on magnetic tape and disk files. Hard copies of the interview forms through 1974 were placed on microfilm. Starting with 1975, hard copies of the interview forms will be retained for 4 years. Interview status check-in card and disk files are also stored. Microfilm and magnetic tapes are in secured storage at SSA. Check-in cards are stored in file cabinets.

Retrievability: All interview records are identified by health insurance claim number.

Safeguards: Initial collection and processing performed by the Census Bureau. For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines (e.g. security codes) will be used, limiting access to authorized personnel.

Retention and disposal: Through 1974, hard copy was routinely destroyed six months after the record was placed on microfilm. Starting with 1975, hard copy will be retained for 3 years, and upon receipt of the fourth year data, the earliest year will be destroyed. Computer and card records and interview status check-in cards are maintained with identifiers as long as needed for purposes of program research. All records are reviewed annually for continued program need.

System manager(s) and address:

Assistant Administrator for Policy, Planning and Research
Health Care Financing Administration
Room 5090 HEW South Building
330 C Street SW
Washington, D.C. 20201

Notification procedure: For purposes of access, write the systems manager; he will require name of system, health insurance claim number and for verification purposes, name (woman's maiden name, if applicable), social security number, address, date of birth and sex, and to ascertain whether the individual's record is in the system, type of social security benefit (old age or disability) received.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Medicare beneficiary records; survey type data collected by Census Bureau for the Social Security Administration.

Systems exempted from certain provisions of the act: None.

09-60-0142

System name: Evaluation of the Impact of Surgical Screening Based Upon Union Member Utilization of the Pre-Surgical Consultant benefit (Statistics) HEW SSA OPP

Security classification: None

System location:

Contractor to the Social Security Administration
Cornell University Medical College
1300 York Avenue
New York, New York 10021

Categories of individuals covered by the system: Sample of those members of five unions in the Greater New York and Northern New Jersey who have used the pre-surgical consultation benefit in their union health contract.

Categories of records in the system: Demographic characteristics medical diagnosis and surgical procedures, physician sociological characteristics, health insurance coverage, health status.

Authority for maintenance of the system: Section 1875 of the Social Security Act. (42 USC Sec. 1395LL).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosures from this system are made to contractors for research and statistical activities directed by the Social Security Administration. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper files.

Retrievability: Records filed in alphabetical order

Safeguards: Safeguards are provided by contract. Identifiable data are accessible only to the contractor and members of his staff

Retention and disposal: Records will be retained with identifiers by the contractor only as long as is needed for purposes of program research and then destroyed.

System manager(s) and address:

Assistant Administrator for Policy, Planning and Research
Health Care Financing Administration
Room 5090 HEW South Building
330 C Street SW
Washington, D.C. 20201

Notification procedure: For purposes of access, write the Systems Manager; he will require name of system, health insurance claim number, and, for verification purposes, name (woman's maiden name, if applicable), address, date of birth and sex, and to ascertain whether the individual's record is in the system, the name of the union of which he is a member.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Union records retained by each union in the survey area.

Systems exempted from certain provisions of the act: None

09-60-0146

System name: Study of Medical Use Under the United Medical Clinic Plan or the Kaiser Health Plan (Statistics) HEW SSA

Security classification: None.

System location:

Palo Alto Medical Research Foundation
860 Bryant Street

Palo Alto, California 94301

Categories of individuals covered by the system: Stanford University employees (2,800) enrolled in one of the above prepaid health plans during the period January 1971 - June 1974.

Categories of records in the system: Health services utilized and expenditures for health care.

Authority for maintenance of the system: Section 702 of the Social Security Act (42 USC Sec 1395LL).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosures from this system are made to contractors for research and statistical activities directed by the Social Security Administration.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Folders, punchcards, magnetic tape.

Retrievability: Identification number based upon a scrambled social security number.

Safeguards: All records are kept in locked cabinet within a locked room, all persons having access to the data - project director, research associate, coding coordinator, research assistant, secretary, programmer and clerk assistant - are made aware of the confidentiality requirements when dealing with public records. All records are maintained on the premises of the contractor. All employees having access to records have been notified of criminal sanctions for unauthorized disclosure of information on individuals. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity, (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components, or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

Retention and disposal: Within one year after final reports are written, all identifiers will be removed.

System manager(s) and address:

Assistant Administrator for Policy, Planning and Research
Health Care Financing Administration
Room 5090 HEW South Building
330 C Street SW
Washington, D.C. 20201

Notification procedure: For purposes of access, write to the systems manager he will require name of system, social security number, and for verification purposes, name (woman's maiden name, if applicable), address, date of birth and sex, and to ascertain whether the individual's record is in the system, name of health plan in which individual was enrolled and the dates of such enrollment.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Survey data collected under contract by Palo Alto Medical Research Foundation through West Coast Community Surveys.

Systems exempted from certain provisions of the act: None.

09-60-0147

System name: Annual 5 Percent Summary File of Services Reimbursed Under the Medicare Program (Statistics) HEW SSA OPP.

Security classification: None.

System location:

Bureau of Data Processing
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: Sample of Medicare enrollees with reimbursement services prior to January 1, 1975.

Categories of records in the system: Demographic characteristics, amount of reimbursement by type of service.

Authority for maintenance of the system: Section 1875 of the Social Security Act (42 USC Sec 1395LL).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department or any employee of the Department in his or her official capacity, (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components, or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: All records are stored on magnetic tape.

Retrievability: All records are indexed by claim number.

Safeguards: For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines (e.g. security codes) will be used, limiting access to authorized personnel.

Retention and disposal: Records are retained with identifiers as long as needed for purposes of program research.

System manager(s) and address:

Assistant Administrator for Policy, Planning and Research
Health Care Financing Administration
Room 5090 HEW South Building
330 C Street SW
Washington, D.C. 20201

Notification procedure: For purposes of access, write the system manager; he will require name of system, health insurance claim number, and for verification purposes, name (woman's maiden name, if applicable), address, social security number, date of birth and sex, and to ascertain whether the individual's record is in the system, whether any reimbursable services prior to 1974 and the date (month and year) of such services.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Medicare enrollment records, Medicare bill records.

Systems exempted from certain provisions of the act: None.

09-60-0148

System name: Matches of Internal Revenue Service and Social Security Administration Data with Census Survey Data (Joint Social Security Administration/Census Statistics Development Project) HEW/SSA/OPP.

Security classification: None.

System location:

Social Security Administration
6401 Security Blvd.
Baltimore, Maryland 21235

Social Security Administration
1875 Connecticut Avenue, N.W.
Washington, D.C. 20009

Bureau of the Census
Suitland, Maryland 20233

HEW Data Management Center

330 Independence Avenue, S.W.
Washington, D.C. 20201

Categories of individuals covered by the system: Samples of United States civilian population and those Armed Forces personnel residing with their families as of March 1973, 1975, 1976 and subsequent periods to be determined.

Categories of records in the system: Basic demographic characteristics from Census survey-labor force, work experience and income items from the survey; Social Security Administration earnings and benefit record information; selected Internal Revenue Service tax return items.

Authority for maintenance of the system: Section 702 of the Social Security Act (42 USC, Section 902), Title 13 U.S. Code (authority for Census Participation)

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made (through the Census Bureau) to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored on magnetic tape.

Retrievability: Records are indexed by social security number during the matching steps at the Social Security Administration and Census but identifiers are not retained at the Social Security Administration after matching is completed.

Safeguards: Magnetic tapes or other files with personal identifiers are retained in secure storage areas accessible only to authorized persons. During those matching steps which occur at the Social Security Administration, identifiable data is solely under the control of a limited number of social security employees who are sworn to uphold the Census and IRS statutes as well as the confidentiality restrictions of the Social Security Administration. Similar provisions are made for the handling of identifiable data from the project at the census Bureau. Employees having access to records are notified of criminal sanctions for unauthorized disclosure of information about individuals. Microdata files prepared for research purposes outside the research staff will be stripped of personal identifiers. For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, (such as the use of passwords, locked-files, etc.) restricting access to authorized personnel.

Retention and disposal: Following the match, all identifiers are removed from the records kept at the Social Security Administration. The Census Bureau retains identifiers for possible longitudinal updating. Records with identifiers will be held in secure storage areas at the Census Bureau and will be disposed of as soon as they are determined to be no longer needed for Census or SSA analysis. Means of disposal will be appropriate to the record storage medium, e.g., erasure of tapes, shredding of printouts, etc. As long as identifiable records exist, a periodic review will be made at least every two years to determine the need for their retention.

System manager(s) and address:

Assistant Commissioner for Research and Statistics
Social Security Administration
Universal North Building/Room 1121
1875 Connecticut Avenue, N.W.
Washington, D.C. 20009

Notification procedure: For purposes of access, write to the system manager. He will request name of the system and social security number (on a voluntary basis). Also to verify identity, provide name (woman's maiden name, if applicable), address, date of birth, and sex.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, pg.47410).

Contesting record procedures: Write the system manager at the address above and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, pg.47411).

Record source categories: Social Security Administration master beneficiary record; Social Security Administration earnings recordings and self-employment income system; Internal Revenue Service tax returns; Census surveys; Social Security Administration Supplemental Security Income record.

Systems exempted from certain provisions of the act: None.

09-60-0149

System name: Matches of Internal Revenue Service and Social Security Administration Data (Joint Social Security Administration/Treasury Department Statistics Development Project) HEW/SSA/OPP.

Security classification: None.

System location:

Social Security Administration
6401 Security Blvd.
Baltimore, Maryland 21235

Social Security Administration
1875 Connecticut Avenue, N.W.
Washington, D.C. 20009

Treasury Department
15th & Pennsylvania Ave., N.W. Washington, D.C. 20220

HEW Data Management Center
330 Independence Ave., S.W.
Washington, D.C. 20201

Categories of individuals covered by the system: Samples of persons filing Federal Income Tax returns for 1970, 1972, 1975, and selected subsequent years.

Categories of records in the system: Social Security Administration demographic data; Social Security Administration earnings and benefit record information; tax return data.

Authority for maintenance of the system: Section 702 of the Social Security Act (42 USC, Section 902) and Treasury Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made (through the Treasury Department) to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Disclosure to the Treasury Department in connection with statistical studies conducted for Social Security Administration and Treasury Department purposes. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored on magnetic tape.

Retrievability: Records are indexed by social security number during the matching steps at the Social Security Administration, but identifiers are not retained at the Social Security Administration. The major matching step is carried out entirely at Treasury.

Safeguards: Safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, (such as the use of passwords, locked-files, etc.) restricting access to authorized personnel. Employees having access to records are notified of criminal sanctions for unauthorized disclosure of information about individuals. Microdata files prepared for research purposes outside the research staff will be stripped of personal identifiers.

Retention and disposal: Identifiable data are retained by the Social Security Administration only during the match process. Once matching is complete all computer tapes are turned over to the Treasury Department. A matched SSA-Treasury file ———— ———————— is provided to Social Security for its research use. The Social Security Administration does not have detailed Internal Revenue Service data with identifiers at any point in the matching process. The minimum amount of Internal Revenue Service data with identifiers needed to validate the processing is used by the Social Security Administration. Identifiers may be retained on the Treasury copies of intermediate and matched files. The retention of these identifiers is needed for possible further matching: for example, with similar data for different years.

System manager(s) and address:

Assistant Commissioner for Research and Statistics
Social Security Administration
Universal North Building/Room 1121
1875 Connecticut Avenue, N.W.
Washington, D.C 20009

Notification procedure: For purposes of access, write to the system manager. He will request name of the system and social security number (on a voluntary basis). Also to verify identity, provide name (woman's maiden name, if applicable), address, date of birth, and sex.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, pg.47410).

Contesting record procedures: Write the system manager at the address above and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975 pg.47411).

Record source categories: Social Security Administration master beneficiary record. Social Security Administration earnings recordings and self-employment income system. Internal Revenue Service Federal tax returns.

Systems exempted from certain provisions of the act: None.

09-60-0159

System name: Continuous Work History Sample (Statistics) HEW SSA OPP

Security classification: None.

System location:

Bureau of Data Processing
6401 Security Boulevard
Baltimore, Maryland 21235

Bureau of Census
Washington, DC 20233

Categories of individuals covered by the system: A sample of persons with social security numbers issued through the cutoff date of the file. Included are those working for the Federal government and those covered by the Railroad Retirement Act, as well as those covered under social security.

Categories of records in the system: Demographic characteristics; employer information, type of work information, earnings information; self-employment information; insured status information; benefit status, geography information (residence).

Authority for maintenance of the system: Section 702 of the Social Security Act. (42 USC Sec. 902).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosures are made to: (1) Energy Research and Development Administration for their study of the long-term effects of low-level radiation exposure;

(2) Department of Labor for administering provisions of Title IV of the Federal Coal Mine Health and Safety Act and for studies on the effectiveness of training programs to combat poverty;

(3) Civil Service Commission for the study of the relationship of civil service annuities to minimum social security benefits, and the effects on the trust fund;

(4) Bureau of Census when it performs as a collecting agent or data processor for research and statistical purposes directly relating to the Social Security Act;

(5) A congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual;

(6) A Federal or State agency (or its agent) lawfully charged with the administration of a Federal or State unemployment compensation law or contribution or tax levied in connection therewith, for the purpose of such administration but solely for use in compiling statistics to be used in aggregated or anonymous forms.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Data are stored on magnetic tape.

Retrievability: The file is indexed with social security numbers.

Safeguards: Initial processing is performed by Census Bureau. During the matching steps which occur at the Social Security Administration, identifiable data is under the control of a limited number of social security employees who have sworn to uphold the Census statute. For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines (e.g. security codes) will be used, limiting access to authorized personnel.

Retention and disposal: This is a longitudinal sample. Records with identifiers will be retained as long as needed to permit addition of future earnings and other Social Security Administration program data for individuals in sample,.

System manager(s) and address:

Assistant Commissioner, Office of Research and Statistics
Social Security Administration, Room 1121
1875 Connecticut Avenue, NW
Washington, D.C. 20009

Notification procedure: For purposes of access, write the systems manager; he will require name of system, social security number, and for verification purposes, name (woman's maiden name, if applicable), address, date of birth and sex, and to ascertain whether the individual's record is in the system, years during which covered earnings were reported and years of self-employment, if any.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Master beneficiary record; earnings summary record; quarterly earnings items file; employer identification file; 'Notification of Personnel Action' (SF-50); Railroad Retirement Board master file; Internal Revenue Service name and address file.

09-60-0180

System name: Survey of Physicians' Administrative and Practice Costs and Medicaid Participation HEW SSA OPP.

Security classification: None.

System location:

Abt Associates
55 Wheeler Street
Cambridge, Mass.

Categories of individuals covered by the system: A national and regional sample of 2000 office-based physicians.

Categories of records in the system: Education, professional background, age, and demographic information about physicians, to be merged with administrative and practice cost data, practice characteristics in terms of specialty, type, size, etc., and participation in Medicaid.

Authority for maintenance of the system: Section 1875 of the Social Security Act, and section 222(a) of the Social Security Act amendments of 1972. (42 USC Sec. 1395LL).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: AMA background information will be maintained on a master sheet, and individually in each interview folder. Interview information will be maintained on questionnaires prior to conversion to magnetic tape. Resulting tapes will contain no personal identifiers.

Retrievability: Until each interview is completed and verified, the contractor will maintain questionnaires and background information in folders labeled with the physician's name. After the information is removed from the folders, there can be no retrieval of individual records.

Safeguards: All identifiers will be removed from data as soon as the collection and matching is complete and verified. All persons having access to records have been notified of criminal sanctions for unauthorized disclosure of information about individuals. Since the tapes will contain no personal identifiers, no special safeguards will be required.

Retention and disposal: Master sheets will be retained indefinitely. Folder identification link will be destroyed. Tapes without personal identifiers will be maintained indefinitely.

System manager(s) and address:

Assistant Administrator for Policy, Planning and Research
Health Care Financing Administration
Room 5090 HEW South Building
330 C Street SW
Washington, D.C. 20201

Notification procedure: To access AMA background master sheets, name and address are required by the system manager.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Responses from 1000 physicians nationwide and 1000 physicians in two Census regions, both for a single time use; background information from the American Medical Association Directory of Physicians.

Systems exempted from certain provisions of the act: None.

09-60-0181

System name: Ambulatory Surgery Research Project HEW SSA OPP.

Security classification: None.

System location:

The Orkand Corporation
8630 Fenton Street
Silver Spring, Md. 20910

The Orkand Corporation
0A420
5131 North Fortieth Street
Phoenix, Arizona 82018

Categories of individuals covered by the system: Patients in selected ambulatory and hospital surgical facilities, selected physicians

Categories of records in the system: Patient interview questionnaires containing demographic, financial, medical, and family information, physician questionnaires with demographic and financial information.

Authority for maintenance of the system: Section 1875 of the Social Security Act and Section 222(b) of the Social Security Amendments of 1972. (42 USC Sec 1395LL).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To contractor under contract with the Social Security Administration to perform research and statistical activities related to this study.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Hard copy questionnaires, hard copy patient identification forms, punched card decks, and magnetic tapes at contractor's locations. Magnetic tapes in non-individually identifiable form in the Bureau of Data Processing.

Retrievability: By name, indexed to case number. At completion of the study, patient identification index will be destroyed and retrieval of individual information will no longer be possible.

Safeguards: All records containing personal identifiers will be processed and handled at contractor's location. This installation has Department of Defense approval at SECRET CLEARANCE level, and has on-site security personnel 24 hours a day at primary location. The patient identifier forms will be retained in a safe at that site until they are destroyed at completion of the study.

Retention and disposal: Records will be retained only as long as required for records management purposes. All patient identification will be destroyed at the conclusion of the study. Magnetic tapes in non-individually identifiable form will be retained indefinitely.

System manager(s) and address:

Assistant Administrator for Policy, Planning and Research
Health Care Financing Administration
Room 5090 HEW South Building
330 C Street SW
Washington, D.C. 20201

Notification procedure: For purposes of notification and access, name of system and name of individual; for purposes of verification, address, sex, and date of birth. An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Patient and physician interview forms, patient medical records.

Systems exempted from certain provisions of the act: None.

09-60-0182

System name: Physician/Supplier 1099 File (Statement for Recipients of Medical and Health Care Payments) HEW SSA BHI.

Security classification: None.

System location: Carriers and intermediaries under contract to Social Security Administration (See Appendix C, Section 3 and Section 4.

Categories of individuals covered by the system: Physician/suppliers to whom Medicare payments have been made by carriers or intermediaries.

Categories of records in the system: A record of total Medicare payments made to physicians and suppliers during each calendar year. It contains the name, address and social security number of the physician/provider number or supplier EIN (employer identification number).

Authority for maintenance of the system: 26 U.S. Code 6041 (Internal Revenue Code).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: This record is disclosable to the Internal Revenue Service in connection with the determina-

tion of the individual's self-employment income. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity, (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components, or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: The records are maintained on magnetic tape and paper.

Retrievability: The system is indexed by physican/provider numbers and supplier EIN (employer's identification numbers).

Safeguards: Records are maintained in secure storage areas accessible only to authorized personnel.

Retention and disposal: The records are retained for 5 years.

System manager(s) and address:

Director, Bureau of Health Insurance
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: Inquiries and requests for systems records should be directed to the intermediary or carrier who made Medicare payments to the physician/supplier.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: The record of total annual payments made to each physician/supplier is derived from the individual Medicare bill payments.

Systems exempted from certain provisions of the act: None. /*

09-60-0183

System name: Matches of Social Security Administration, Department of Defense and Veterans Administration Data Relating Earnings History to Armed Forces Training Experience. (Statistics) HEW/SSA/OPP

Security classification: None.

System location:

Social Security Administration
6401 Security Blvd
Baltimore, Maryland 21235

Social Security Administration
1875 Connecticut Avenue, N.W.
Washington, D.C. 20009

Categories of individuals covered by the system: Samples of enlisted men who separated from active duty during fiscal 1969 after having satisfactorily completed one term of service.

Categories of records in the system: Social Security Administration earnings information, selected Department of Defense sociodemographic and post-service data, and limited Veterans Administration program participation information.

Authority for maintenance of the system: Section 702 of the Social Security Act (42 USC, Section 902).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored on magnetic tape.

Retrievability: Records are indexed by social security number during the matching steps at the Social Security Administration. Identifiers are not made available outside SSA.

Safeguards: Safeguards established in accordance with Department standards and National Bureau of Standards guidelines are being employed (such as the use of passwords, locked-files, etc.) restricting access to authorized personnel. Employees having access to identified records are notified of criminal sanctions for unauthorized disclosure of information about individuals. Microdata files prepared for research purposes outside the research staff will be stripped of personal identifiers.

Retention and disposal: Computer records with identifiers will be held in secure storage areas and will be disposed of (by degaussing) as soon as they are determined to be no longer needed for SSA analysis. As long as identifiable records exist, a periodic review will be made at least every two years to determine the need for their retention.

System manager(s) and address:

Assistant Commissioner for Research and Statistics
Social Security Administration
Universal North Building/Room 1121
1875 Connecticut Avenue, N.W.
Washington, D.C. 20009

Notification procedure: For purposes of access, write to the system manager. He will request name of the system and social security number (on a voluntary basis). Also to verify identity, provide name, address, and date of birth.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, pg.47410).

Contesting record procedures: Write the system manager at the address above and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, pg.47411).

Record source categories: Social Security Administration earnings recordings and self-employment income system and Department of Defense Manpower Research and Data Analysis Center post-service file; veterans entitlement and program participation data from VA.

Systems exempted from certain provisions of the act: None.

09-60-0184

System name: Hearing Office Master Calendar HEW SSA BHA.

Security classification: None.

System location: All Hearing Offices (See Appendix G).

Categories of individuals covered by the system: Claimants - Social Security and Black Lung.

Categories of records in the system: A list of all cases pending in the hearing office.

Authority for maintenance of the system: Sections 205, 1631(d)(1) and 1872 of the Social Security Act, as amended, and Section 413(b) of the Federal Coal Mine Health and Safety Act, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components, or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Folder.

Retrievability: Social security number. Enables the hearing office to ascertain and maintain control of the pending case load.

Safeguards: Limited access to SSA offices; limited employee access to need to know

Retention and disposal: As each case is disposed of, it is removed from the master calendar.

System manager(s) and address:

Director
Bureau of Hearings and Appeals, Room 402
3833 North Fairfax Drive
Arlington, Virginia 22203

Notification procedure:

Social Security Administration
Bureau of Hearings and Appeals
801 North Randolph Street
Arlington, Virginia 22203

Written request to above address (social security number must be supplied to provide identification).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Hearing office personnel, from information on incoming cases.

Systems exempted from certain provisions of the act: None.

09-60-0185

System name: Service Officer Demonstration Project--HEW,SSA, OEA.

Security classification: None.

System location: Service Officers' offices, Boston, Massachusetts, Atlanta, Georgia, Seattle, Washington; Dallas, Texas. Office of the contractor name and address not yet determined.

Categories of individuals covered by the system: Members of the public who contact the Service officers about their social security related problems or complaints or who call to ask questions about social security

Categories of records in the system: Detailed record of contact, relevant information assembled by the Service Officer, survey questionnaires administered to persons contacting the Service Officers and to eligible persons who don't use their services.

Authority for maintenance of the system: Section 205(a), Social Security Act (42 USC 405(a)).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Records maintained by the Service Officer will be used to documents contacts, and resulting follow-up activities by the Service Officer in regards to these contacts. A contractor will conduct surveys of probability samples of users, non-users, etc. The survey data collected will be for statistical reasons. Also, the contractor will process Service Officer generated forms for historical data, statistical and sampling purposes. Therefore, routine disclosure will be made to the contractor. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity, (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components, or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Service Officer generated forms, survey, questionnaires, computer tape and cards.

Retrievability: By name and/or social security number, date of contact with Service Officer.

Safeguards: The records are subject to the same rules and safeguards as all other records created and maintained by SSA. Information collected by the Service Officers can be made available to SSA personnel on a need-to-know basis. All personnel having access to records will be notified of criminal sanctions for unauthorized disclosure on individuals. The contractor will delete identifying information from statistical data tapes. Statistical survey information collected by the contractor will in no way influence a person s entitlement to present or future benefits. The contractor will permit authorized personnel to have access to to the data.

Retention and disposal: If a claims folder exists for an individual, duplicates of any Service Officer generated records for that person will be put into his or her claims folder. In all other instances, information containing a personal identifier which may be retained by the Service Officer will be destroyed at the conclusion of the demonstration period.

System manager(s) and address:

Director, Office of Intergovernmental Relations and Public Concerns
Office of External Affairs
Social Security Administration
6401 Security Boulevard,
Baltimore, Maryland 21235

Notification procedure: For purposes of notification, write the systems manager. He will need name, social security number and date of contact with the Service Officer, and compliance with regulations on verification of identity. Furnishing the social security number is voluntary but it will make searching for the individual's record easier and avoid delay.

Record access procedures: Same as notification procedure in item 11

Contesting record procedures: Same as notification procedure in item 11

Record source categories: The Master Beneficiary Record, the Supplemental Security Income Record, persons contacting the Service Officer, collateral sources, statistical surveys, as well as claims folders and other records maintained by SSA Program Service Centers, District Offices, and other SSA components.

Systems exempted from certain provisions of the act: None.

09-60-0186

System name: Litigation Master Record File--HEW,SSA,OPP.

Security classification: None.

System location:

Social Security Administration
OPR Litigation Workgroup
Room 403 WHR
Baltimore, MD 21235

Categories of individuals covered by the system: Individuals who are involved, as plaintiffs or defendents, in civil litigation concerning one or more of the programs administered by SSA.

Categories of records in the system: Complaints filed by individuals against the Secretary, HEW. Court orders and decisions regarding cases in litigation. Related litigation materials.

Authority for maintenance of the system: Section 205(a) Social Security Act (42 USC 405(a)).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components, or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: On paper files in filing cabinets.

Retrievability: Records maintained by the OPR Litigation Workgroup will be used by the Workgroup in the course of their responsibilities for formulating and coordinating responses to interrogatories and recommendations regarding the appeal of adverse court decisions. The records will also be maintained to enable Workgroup personnel to review and analyze court decisions and to direct the implementation of interim and final court orders. The records will be stored alphabetically by plaintiff's name.

Safeguards: The file will be maintained in locked file cabinets and staff personnel will limit access only to authorized personnel. All personnel having access to the records will be informed of criminal sanctions for unauthorized disclosure on individuals.

Retention and disposal: Normally, records will be retained for two years after the expiration of the appeal period. Certain cases in which constitutional/policy issues are involved (e.g., Supreme Court cases) will be retained indefinitely by Litigation Workgroup. All other records will be transferred to OPR Reference Room to be retained for history purposes.

System manager(s) and address: Director, Office of Policy and Regulations

Social Security Administration
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: For purposes of access, write the system manager: he will need name, and for verification purposes, social security number, address, date of birth, and sex. Furnishing the SSN is voluntary, but it will make searching for the individual's record easier and avoid delay.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) FEDERAL REGISTER, October 8, 1975, page 47410.)

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.)

Record source categories: The social security claims folder, the Master Beneficiary Record, the Supplemental Security Record, the Social Security Administration Data Access and Retrieval System, plaintiff's complaints, court orders, court decisions, and court directives.

Systems exempted from certain provisions of the act: None.

09-60-0187

System name: Clinical Psychology/Expanded Ment. HEW/SSA/HI.

Security classification: None.

System location:

Social Security Administration
6401 Security Boulevard
Baltimore, Maryland 21235

Colorado Blue Cross and Blue Shield
700 Broadway
Denver, Colorado 80203

Office of the Contractor, name and address not yet determined, but when the determination is made the name and address will be available from the system manager upon request.

Categories of individuals covered by the system: Beneficiaries (approximately 50 per year) who receive outpatient mental health services from independently practicing clinical psychologists in Colorado under Medicare.

Categories of records in the system: Patient's medical information, including mental health treatment, objectives, and procedures.

Authority for maintenance of the system: Section 402(a) of the 1967 Amendments to the Social Security Act, as amended by Section 222(b)(1) of the 1972 Amendments to the Social Security Act, P.L. 92-603

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) To the Colorado Psychological Association, peer review consultants, and Blue Shield of Colorado, under contract with the Social Security Administration, for the performance of research and statistical functions, and to an organization under contract with the Social Security Administration and consultants to that organization for the evaluation of the peer review process in compliance with the conditions of the agreement. (b)Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. (c)In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Stored in a locked filing cabinet.

Retrievability: By name and health insurance claim number.

Safeguards: All records will be locked up when not in use. Only authorized personnel of Colorado Blue Shield and the Colorado Psychological Association will be granted access to the documents. Colorado Blue Shield currently reviews and processes all Part B Medicare claims in Colorado, and will apply similar safeguards to the records in this system.

Retention and disposal: All materials will be retained until December 31, 1980. All identifiable material will then be destroyed.

System manager(s) and address:

Assistant Commissioner for Research and Statistics, Social Security Administratioon,
Room 1121
Universal North Building
1875 Connecticut Avenue, N.W.
Washington, D.C. 20009

Notification procedure: Provide the system manager with the name of the system, and the name, home address, and health insurance claim number of the person requesting notification. An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR Sections 5b.5 and 5b.6) Federal Register, October 8, 1975, page 47410, 11).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR Sections 5b.5 and 5b.6) Federal Register, October 8, 1975, page 47410, 11).

Contesting record procedures: Contact the official at the address specified under SYSTEM MANAGER above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR Section 5b.7) Federal Register, October 8, 1975, page 47411.)

Record source categories: Provider records collected from the subject individuals by the participating psychologist.

Systems exempted from certain provisions of the act: None.

09-60-0188

System name: Medicare Clinic Physician Supplier Master File HEW/SSA/HI.

Security classification: None.

System location: Carriers under contract to Social Security Administration (See Appendix C, Section 4.)

Categories of individuals covered by the system: Physicians and suppliers in a clinic who provide medical services or supplies to Medicare beneficiaries.

Categories of records in the system: A compilation of all charges submitted by a clinic physician or supplier for services or suppliers to (1) derive 'reasonable charge' information, (2) determine economic indexes, and (3) to substantiate the basis for payment to beneficiaries, physicians suppliers, and hospitals.

Authority for maintenance of the system: Sections 1833, 1835, 1842 and 1874 of title XVIII of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Professional Standards Review Organizations and State Licensing Boards for review of unethical practices or nonprofessional conduct; contractors under contract to SSA for the performance of specific research and statistical activities directly relating to the Social Security Act. SSA health insurance program review teams. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained on magnetic tape, microfilm, and hard copy paper.

Retrievability: The records are indexed for individual identification by clinic physician provider numbers and supplier EIN (employer's identification number). The records are prepared and updated daily by carriers as a basis for determining reasonable charges and area prevailing charges.

Safeguards: Disclosure of records to carrier personnel is limited to a need-to-know basis. The files are closed to unauthorized personnel. The determination as to which personnel are authorized will vary slightly in different carrier installations. All carriers have guards at the building entrance to prevent intrusion by individuals not employees or not having business with the carrier. One or more of the following security measures are used within the building: Color coded identification cards are used to establish the right of an employee to be in a specific area; cipher locks are used to protect files and computer areas; magnetic identification cards are used to gain access to security sensitive areas; videomonitoring of sensitive areas is constant.

Retention and disposal: Records are closed out the first quarter following the close of the previous calendar year. Files are retained indefinitely.

System manager(s) and address:

Director, Bureau of Health Insurance
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: Inquiries and requests for records information should be directed to the carrier servicing the clinic physician's or supplier's geographical area. Individuals who want to determine if they have a record in this system must provide their full name and address.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regualtions (45 CFR, Section 5b.5 and 5b.6 Federal Register, October 8, 1975, page 47410, 11).

Contesting record procedures: Contact the official at the address specified under System Manager above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.)

Record source categories: Information contained in these records is furnished in part by the individual clinic physician or supplier and in part abstracted from Medicare Part B billing records.

Systems exempted from certain provisions of the act: None.

09-60-0189

System name: Durable Medical Equipment Experimentation, HEW, SSA,HI

Security classification: None.

System location:

Social Security Administration
Office of Research and Statistics
Program Experimentation Branch
Room 3-E-6
Meadows East Building
Baltimore, Maryland 21235

Office of the Contractor, name and address not yet determined.

Categories of individuals covered by the system: Medical Part B Beneficiaries acquiring durable medical equipment (DME) under Title XVIII of the Social Security Act. Geographic locations are to be determined on contract award date.

Categories of records in the system: Administrative, billing, and descriptive information involving the purchase and/or rental of durable medical equipment under Title XVIII (Medicare Part B).

Authority for maintenance of the system: Section 245 of Public Law 92-603 (Social Security Amendments of 1972).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of the records maintained in the system will be made to an organization under contract with the Social Security Administration for the performance of the research and statistical functions as prescribed by the contract. The data collected will be utilized by the Contractor for statistical purposes in determining the results of the experimental program. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity, (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic computer tape.

Retrievability: To be specified by Contractor. (Most probable index will be individual Health Insurance Account Number and Part B Medicare Carrier Code Number.)

Safeguards: Magnetic computer tapes are to be kept in GSA approved containers with combination locks. The containers are to be located in a controlled access area where all nonemployees and nonauthorized personnel must identify themselves, state the nature of their business, and be logged in before gaining entry. All employees of the Contractor are subject to the penalties prescribed by the Privacy Act for unauthorized disclosure of personnel data. These safeguards are in accordance with Departmental standards limiting access to authorized personnel only.

Retention and disposal: All raw data, draft reports, correspondents, and reports generated during this experiment (including tapes, computer programs, position indices, etc.) shall be the property of the Government and shall be delivered to the SSA Project Officer not later than 15 calendar days after contract completion date. Should the Project Officer request any of the above-mentioned material during the conduct of the experiment, the Contractor shall present such material to the Project Officer with 30 days of a written request. The material presented by the Contractor shall be as current as possible, relevant to the request. All tapes and final reports will be delivered to the Social Security Administration and will be retained by the Social Security Administration as long as necessary for program purposes.

System manager(s) and address:

Assistant Commissioner for Research and Statistics
Social Security Administration
Room 1121
Universal North Building
1875 Connecticut Avenue, N.W.
Washington, D.C. 20009

Notification procedure: For purposes of notification, provide the Systems Manager with the name, address, and Health Insurance Account Number of the person requesting access.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Departmental Regulations (45 CFR, Part 5b.5(a)(2) Federal Register, October 8, 1975, page 47410.)

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Departmental Regulations (45 CFR Part 5b.7) Federal Register, October 8, 1975, page 47411.)

Record source categories: Requests from Medicare Part B Beneficiaries for reimbursement for the rental/purchase of durable medical equipment under title XVIII of the Social Security Act, including charges and descriptive material from suppliers of durable medical equipment, administrative and billing information for the reimbursement of durable medical equipment from Part B Medicare Carriers.

Systems exempted from certain provisions of the act: None.

09-60-0190

System name: Medicare Hospital Discharge Validation File, HEW SSA HI.

Security classification: None.

System location:

Health Care Financing Administration
HEW South Bldg.
330 C St. S.W.
Washington, D.C. 20201

National Academy of Sciences
Institute of Medicine
Watergate Office Building
2600 Virginia Avenue
Washington, D.C. 20418

Categories of individuals covered by the system: Medicare beneficiaries (aged only) whose hospital bills were included in a 20 percent sample of beneficiaries during 1974 and 1975.

Categories of records in the system: Each record contains (1) patient identification data (name, HI number, sex, age) from the Medicare master enrollment file, and (2) hospitalization data (hospital name, admission and discharge date, primary diagnosis, primary surgical procedure performed) from both the Medicare hospital discharge billing file and the hospital medical record.

Authority for maintenance of the system: 42 U.S.C. Section 1395.11.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) To contractor for the performance of specific research and statistical activities directly related to the performance of this study.

(b)To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

(c)In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components, or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Record lists, completed reabstract forms, and keypunched cards are stored in locked file cabinets. Magnetic tape files of patient records are stored in a tape library. All codes for numeric data on the tape files are stored in locked file cabinets. All of these storage facilities are located in the contractor's offices.

Retrievability: By beneficiary name, HI number, and birth date.

Safeguards: The contractor will be required to comply with Departmental safeguard procedures. All persons having access to the system of records have been notified of the criminal sanctions for unauthorized disclosure of information about individuals. The contractor maintains controlled access to computer files. As tape file records are created, individuals' names are eliminated and their HI numbers replaced with anonymous assigned record numbers. The master list for the assigned numbers is stored in locked file cabinets. There is controlled access to this list as all other stored files.

Retention and disposal: All re-abstract forms, filing records and other data collection forms will be returned to SSA with all patient identifiers removed. Keypunch cards and magnetic tape files will be retained by the contractor for 6 months following contract termination and will then be destroyed by standard disposal procedures.

System manager(s) and address:

Acting-Assistant Administrator for Policy and Research,
HCFA
Room 5090
HEW South Bldg.
330 C St. S.W.
Washington, D.C. 20201

Notification procedure: For purposes of notification, the system manager will need to know the name of the system, and the name and health insurance number of the person requesting notification. An individual who requests notification of or access to a medical record shall, at the time the request is made designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Sections 5b.5 and 5b.6) Federal Register, October 8, 1975, page 47410, 11).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5 and 5b.6) Federal Register, October 8, 1975, page 47410, 11).

Contesting record procedures: Contact the official at the address specified under System Manager above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR Section 5b.7) Federal Register, October 8, 1975, page 47411.)

Record source categories: Records derived from Medicare master enrollment file, Medicare 20 percent hospital discharge record file, hospital medical records, and hospital Medicare claims forms.

Systems exempted from certain provisions of the act: None.

09-60-0194

System name: Direct Deposit Survey (Statistics), HEW SSA OPP.

Security classification: None.

System location:

Evaluation and Measurement Staff
Office of Program Policy & Planning
6300 Security Blvd.
Baltimore, Maryland 21235

Bureau of Data Processing
6401 Security Blvd.
Baltimore, Maryland 21235

Contractor Site--unknown--when known, this information will be available from Systems Manager upon request.

Categories of individuals covered by the system: A sample of individuals from these groups:

a. Individuals who are receiving social security benefits and having them deposited directly in financial institutions.

b. Individuals receiving social security benefits who have not elected to have their benefits deposited directly in financial institutions.

c. Individuals receiving social security benefits who had elected the direct deposit option but who subsequently elected to stop using it.

Categories of records in the system: Selected Survey Responses reflecting individuals' knowledge of and experience with the Direct Deposit option, Social Security Administration program benefit and demographic data.

Authority for maintenance of the system: Section 702 of the Social Security Act (42 U.S.C., Section 902).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to: a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. An organization under contract with the Social Security Administration of inforamtion necessary to enable the contractor to comply with the conditions of the agreement to perform research and statistical functions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Completed data tape and questionnaire hard copy with identifiers will be kept by EMS Project Officer: The questionnaire hard copy in a locked file: the tape in a secure computer facility.

Retrievability: Records from the survey data tape and questionnaire hard copy will be retrievable by name and social security number until after merger with SSA program data, i.e., until end of calendar year 1979.

Safeguards: During field survey and editing, identification of tapes and documentation of tape data contents are restricted to the SSA Project Staff and the contractor's project staff. Hard copy of questionnaires are kept in locked storage cabinets located in locked rooms and can only be accessed with the permission of the project manager. All persons using tape data or having access to hard copy are notified of criminal penalties for unauthorized disclosures of information about individuals. Similarly, the contractor's staff operates under the same sanctions. Contractor transmits all survey data to SSA Project Staff at the end of field survey. Access to completed data tape is controlled by the SSA Project Officer. Security measures have been incorporated in the software specifications of the system that were designed to prevent accidental and intentional unauthorized disclosure.

Retention and disposal: Questionnaire hard copy and completed tape with identifiers will be retained until the end of calendar year 1979 at which time both will be destroyed. Retrieval will then no longer be possible.

System manager(s) and address:

Chief, Evaluation and Measurement Staff, OPP
6300 Security Blvd.
Baltimore, Maryland 21235

Notification procedure: Provide system manager with name of system, name and social security account number, on a voluntary basis.

Record access procedures: Same as notification procedure. Requestor should also reasonably specify the record contents being sought. These access procedures are in accordance with DHEW Regulations (45 CFR, Section 5b.5(a)(2)), Federal Register, October 8, 1975, page 47410.

Contesting record procedures: Contact the systems manager at the address specified, and reasonably identify the record and specify the information to be contested. These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7), Federal Register, October 8, 1975, page 47411.

Record source categories: Interview data completed with individuals in the survey sample. SSA program information and demographic data from social security records.

Systems exempted from certain provisions of the act: None.

09-60-0195

System name: Professional Qualification Files. HEW SSA HI.

Security classification: None.

System location: (1) Regional Medicare Directors (See Appendix C, Sect. 2, Federal Register, September 20, 1976, page 41053).

(2) The State Agencies listed below for the indicated file categories:

Department of Public Health
State Office Building
Montgomery, AL 36130 (1) (2) (9)

Department of Health and Social Services
Pouch H, Space 06-G
Juneau, AK 99811
(1) (2)

Department of Health Services
1740 West Adams
Room 201
Phoenix, AZ 85007
(1) (2) (3)

Bureau of Health Facilities Services
4815 West Markham
Little Rock, AR 72201
(1) (2)

Department of Health
2151 Berkeley Way
Berkeley, CA 94704
(1) (3)

State Department of Health
4210 East 11th Street
Denver, CO 80220
(1) (2) (11)

State Department of Health
79 Elm Street
Hartford, CT 06115 (1) (16)

Division of Public Health
2634 Kirkwood Highway
Newark, DE 19711
(1) (2) (3)

Department of Health and Rehabilitative Services
P O Box 210
Jacksonville, FL 32201
(1) (3)

Standards and License Unit
618 Ponce de Leon Avenue, NE
Atlanta, GA 30308
(1) (2) (3) (8)

State Department of Health
P O Box 33787
Honolulu, HI 96801
(1) (3) (4)

Department of Health and Welfare
Statehouse
Boise, ID 83707
(1) (2)

Office of Health Facilities and Quality of Care
525 West Jefferson Street
Springfield, IL 62706 (1) (2)

Medical Care Administration
1330 West Michigan
Indianapolis, IN 46202
(1) (2)

Division of Health Facilities
State Office Building
Des Moines, IA 50319
(1) (2) (3) (4)

State Department of Health and Environment
Topeka, KA 66620
(1) (2)

Louisiana Health and Human Resources Administration
P O Box 3767
Baton Rouge, LA 70821
(1) (2) (3)

Department of Human Services
221 State Street
Augusta, ME 04333
(1) (2) (3)

Department of Public Health
80 Boylston Street
Boston, MA 02116
(1) (2)

Division of Laboratory Improvement
3500 North Logan

Lansing, MI 48914
(1) (3)

Division of Health Facilities
717 Delaware Street SE
Minneapolis, MN 55440 (1) (2) (3)

State Board of Health
2423 North State Street
Jackson, MS 39205

State Division of Health
State Office Building
Jefferson City, MO 65102 (1) (3)

Department of Health and Environmental Services
Capitol Station
Helena, MT 59601
(1) (2) (4) (5) (6) (7) (8) (9) (12) (13) (14)

State Health Department
1000 O Street
Lincoln, NE 68508
(1) (2)

Bureau of Health Facilities
505 East King Street
Carson City, NV 89710
(1) (2) (3) (5)

Division of Public Health Services
61 South Spring Street
Concord, NH 03301
(1) (2) (3)

Department of Health
Room 401
Box 1540
Trenton, NJ 08625
(2)

State Health and Social Services Department
725 St. Michael's Drive
Santa Fe, NM 87503
(1) (2) (3)

Department of Health
Tower Building
Empire State Plaza
Albany, NY 12237
(1) (3)

State Department of Health
1200 Missouri Avenue
Room 302
Bismarck, ND 53508
(1) (2) (9)

Department of Health
450 East Town Street
Columbus, OH 43215
(1) (2)

Licensure and Certification Division
Northeast 10th and Stonewall
Oklahoma City, OK 73105
(1) (2) (3)

State Health Division
P O Box 231
Portland, OR 97207
(1) (2)

Department of Health and Environmental Control
2600 Bull Street
Columbia, SC 29201
(1) (2) (3) (7) (8) (10) (14)

Department of Public Health
Nashville, TE 37219
(1) (2)

State Department of Health Resources
4902 Grover Street
Austin, TX 78756
(1) (2) (3)

Division of Health
44 Medical Drive
Salt Lake City, UT 84113
(1) (2) (4) (5) (6) (7) (8) (9) (14) (15)

Department of Health
115 Colchester Avenue
Burlington, VT 05401
(1) (2) (4) (5) (6) (7) (8) (9)

Department of Health
James Madison Building
109 Governor Street
Richmond, VA 23219
(1) (2) (3)

Department of Social and Health Services
P O Box 1788
Alympia, WA 98504
(3)

State Health Department
601 Morris Street
Suite 305
Charleston, WV 25301
(1) (2)

Division of Health
One West Wilson Street
Madison, WI 53703
(1) (2)

Categories of individuals covered by the system: Certain professional individuals who are employed in hospitals and clinical laboratories, or who are self-employed providing therapy and medical services who have taken HEW proficiency examinations

Categories of records in the system: The system contains information on the academic and experience qualifications and social security numbers of individuals working in hospitals or clinical laboratories; the names, addresses, and license numbers of professional self-employed persons providing therapy and other medical services and their eligibility to participate in the Medicare program; whether individuals who took HEW proficiency examinations have passed or failed. Records maintained differ from State to State. The State agencies listed under System Location are followed by numbers indicating which of the following categories are recorded.

Physical Therapists (1).
Chiropractors (2).
Laboratory Personnel (3).
Licensed Practical Nurses (4).
Licensed Administrators (5).
Registered Nurses (6).
Occupational Therapists (7).
Dieticians (8).
Consultant Physicians (9).
Pharmacists (10).
Clinical Psychologists (11).
Audiologists (12).
Speech Pathologists (13).
Social Work Consultants (14).
Dentists (15).
Portable X-Ray Providers (16).

Authority for maintenance of the system: 42 U.S.C. 1395 x and 42 U.S.C. 1320 a-2.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) To contractors under contract to SSA for the performance of specific research and statistical activities directly related to the Social Security Act.

(b) To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

(c) To State officials and employees to the extent necessary or appropriate to carry out their functions under agreements with the

Social Security Administration. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records maintained on paper files in metal filing cabinets.

Retrievability: System is indexed by name of individual, listed alphabetically.

Safeguards: Disclosure of records is limited to State agency and Medicare personnel on a need-to-know basis. The files are closed to unauthorized personnel. File cabinets where records are stored are locked when not in use and at close of business. Keys are kept by authorized personnel only.

Retention and disposal: Records are maintained for 5 years after becoming inactive, and are then destroyed.

System manager(s) and address:

Director, Bureau of Health Insurance
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: Inquiries and requests for records should be directed to the Regional Medicare Director (See Appendix C, Section 2) or the appropriate State agency (See System Location.) The individual should furnish his or her name, address, social security number and the specific category file he wishes to access. Information on the procedures for gaining access to and contesting records may be obtained from the Regional Medical Director.

Record access procedures: Same as notification procedures. (These access procedures are in accordance with the Department Regulations (45 CFR, Section 5b.5(a)(2) Federal Register, October 8, 1975, page 47410)).

Contesting record procedures: Contact the official at the address specified under notification procedures, above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with the Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411).

Record source categories: The information contained in these records is furnished by the individual or his employing entity (hospital or medical clinic).

Systems exempted from certain provisions of the act: None.

09-60-0196

System name: Disability Studies Survey Records, (Statistics) HEW/SSA/OPP

Security classification: None.

System location:

Social Security Administration
6401 Security Blvd.
Baltimore, Maryland 21235

Bureau of the Census
Washington, D.C.
Jeffersonville, Indiana

Contractor sites: Addresses may be obtained by writing to the system manager (see below)

Categories of individuals covered by the system: Sample groups of adults who are current or potential recipients of Social Security disability payments.

Categories of records in the system: Socio-economic, demographic, medical and disability characteristics, attitudes, earnings and employment history, benefits, and use of medical and rehabilitative services.

Authority for maintenance of the system: Section 702 of the Social Security Act (42 USC, Section 902)

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. To contractor under contract to the Social Security Administration (SSA), or under contract to another agency with funds provided by SSA, for the performance of research and statistical activities directly related to the Social Security Act.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Data may be stored on hard copy questionnaire forms, microfilm, punch cards, magnetic tape, disc, or printouts.

Retrievability: Files based on SSA sample populations are indexed by SSA-assigned case numbers or social security numbers. Files based on Census sample populations are indexed by Census-assigned case numbers cross-referenced to social security numbers.

Safeguards: Magnetic tapes or other files with personal identifiers are retained in secure storage areas accessible only to authorized persons. Employees having access to records are notified of criminal sanctions for unauthorized disclosure of information about individuals. Microdata files prepared for research purposes for use outside of the research staff will be stripped of personal identifiers. For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, (such as the use of passwords, locked files, etc.) restricting access to authorized personnel.

Retention and disposal: Hard copy questionnaires will be destroyed when survey reports are completed. Records with identifiers will be held in secure storage areas and will be retained only as long as needed for SSA analysis. Identifiers will be removed at the earliest possible time after data collection is completed. The need to retain identifiers will be evaluated at the time each survey is completed. Records with identifiers will be disposed of as soon as they are determined to be no longer needed. Means of disposal will be appropriate to the record storage medium, e.g., erasure of tapes, shredding of printouts, etc. As long as identifiable records exist, a periodic review will be made at least every two years to determine the need for their retention. In longitudinal studies, working files are stripped of identifiers and given randomly assigned case numbers. A separate link file will be maintained in secure storage for updating with individual identifiers.

System manager(s) and address:

Assistant Commissioner for Research and Statistics
Social Security Administration
Universal North Building/Room 1121
1875 Connecticut Avenue, N.W.
Washington, D.C. 20009

Notification procedure: For purposes of access, write to the system manager. He will request name of the system and social security number (on a voluntary basis). Also to verify identity, provide name (woman's maiden name, if applicable), address, date of birth, and sex.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, pg.47410).

Contesting record procedures: Write the system manager at the address above and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, pg.47411).

Record source categories: SSA administrative records (Master Beneficiary Record, earnings recordings and self-employment income system, disability case folders, etc.) and/or survey data collected by contractor. Bureau of the Census records may be used to create sampling frame.

Systems exempted from certain provisions of the act: None.

09-60-0197

System name: Disability Studies Records and Extracts (Statistics) - HEW/SSA/OPP

Security classification: None.

System location:

Social Security Administration
6401 Security Blvd.

Baltimore, Maryland 21235

Contractor sites: Addresses may be obtained by writing to the systems manager (see below)

Categories of individuals covered by the system: Samples of applicants and recipients of disability benefits, including specifically selected subsets of each category, also applicants/participants in State Vocational Rehabilitation Programs.

Categories of records in the system: Socio-economic, demographic, medical and disability characteristics, earnings, employment history, benefits, and use of medical and rehabilitative services.

Authority for maintenance of the system: Section 702 of the Social Security Act (42 USC Sec 902)

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. To contractor under contract to the Social Security Administration (SSA), or under contract to another agency with funds provided by SSA, for the performance of research and statistical activities directly related to the Social Security Act.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Data may be stored on hard copy forms, microfilm, magnetic tape, disc, punch cards, or printouts.

Retrievability: Files are indexed by social security number. Data are used within the Office of Research and Statistics for program planning and evaluation purposes such as participation in and relative effectiveness of rehabilitation programs, determination of the characteristics of program applicants and benefit recipients, etc.

Safeguards: Magnetic tapes or other files with personal identifiers are retained in secure storage areas accessible only to authorized persons. Employees having access to records are notified of criminal sanctions for unauthorized disclosure of information about individuals. Microdata files prepared for research purposes outside the research staff will be stripped of personal identifiers. For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, (such as the use of passwords, locked-files, etc.) restricting access to authorized personnel.

Retention and disposal: Records with identifiers will be held in secure storage areas and will be disposed of as soon as they are determined to be no longer needed for SSA analysis. Means of disposal will be appropriate to the record storage medium, e.g., erasure of tapes, shredding of printouts, etc. As long as identifiable records exist, a periodic review will be made at least every two years to determine the need for their retention.

System manager(s) and address:

Assistant Commissioner for Research and Statistics
Social Security Administration
Universal North Building/Room 1121
1875 Connecticut Avenue, N.W.
Washington, D.C. 20009

Notification procedure: For purpose of access, write to the system manager. He will request name of the system and social security number (on a voluntary basis). Also, to verify identity, provide name (woman's maiden name, if applicable), address, date of birth, and sex.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with DHEW Regulation (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, pg.47410).

Contesting record procedures: Write the system manager at the address specified above and reasonably identify the record and specify the information contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, pg.47411).

Record source categories: Master beneficiary record, earnings recordings and self-employment income system, disability claims folder, disability data record, case service reports of the Vocational Rehabilitation Agencies (R-300), Bureau of Hearings and Appeals record locator, Health Insurance Master File and related files, and SSA Administrative Awards File.

Systems exempted from certain provisions of the act: None.

09-60-0198

System name: Extramural Research Administrative File HEW/SSA/OPP

Security classification: None.

System location:

Social Security Administration
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: Personnel described in research project proposals submitted for grant or contract consideration

Categories of records in the system: Professional qualifications and other relevant information about project personnel. Direct or indirect information on individual salaries may be included.

Authority for maintenance of the system: Section 702 of the Social Security Act (42 USC 902). Section 1110 of the Social Security Act (42 USC 1310)

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. To the court or to a party in connection with any civil or criminal action to which the Secretary is a party or otherwise involving a program administered by the Social Security Administration. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity, (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components, or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Data may be stored on hard copy forms, magnetic tape, disc, punch cards, or printouts.

Retrievability: Files are indexed by HEW-assigned number. Data are used within HEW for administrative analyses.

Safeguards: Magnetic tapes or other files with personal identifiers are retained in secure storage areas accessible only to authorized persons. Employees having access to records are notified of criminal sanctions for unauthorized disclosure of information about individuals. For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, (such as the use of passwords, locked-files, etc.) restricting access to authorized personnel.

Retention and disposal: Records with identifiers will be held in secure storage areas and will be disposed of as soon as they are determined to be no longer needed for analysis. Means of disposal will be appropriate to the record storage medium, e.g., erasure of tapes, shredding of printouts, etc. As long as identifiable records exist, a periodic review will be made at least every two years to determine the need for their retention.

System manager(s) and address:

Assistant Commissioner for Research and Statistics
Social Security Administration
Universal North Bldg./Rm.1121
1875 Connecticut Avenue, N.W.
Washington, D.C. 20009

Notification procedure: For purposes of access, write to the systems manager. He will need to know the project title and number, name of contractor or grantee organization and the name of the person requesting notification.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with DHEW Regulation (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, pg.47410).

Contesting record procedures: Write the system manager at the address specified above and reasonably identify the record and specify the information contested. (These procedures are in ac-

cordance with Department Regulations (45 CFR, Section 5b.7) Federal Register October 8, 1975, pg 47411).

Record source categories: Project proposals submitted for grant or contract consideration.

Systems exempted from certain provisions of the act: None.

09-60-0199

System name: Extramural Surveys (Statistics) HEW/SSA/OPP

Security classification: None.

System location:

Social Security Administration
6401 Security Blvd.
Baltimore, Maryland 21235

Contractor sites: Addresses may be obtained by writing to the system manager (see below)

Categories of individuals covered by the system: Samples of individuals who are current or potential recipients of benefits from Social Seucrity and related programs; personnel administering SSA and related programs.

Categories of records in the system: Socio-economic, demographic, medical and disability characteristics; attitudes concerning subjects such as health, work experience, and family relationships; earnings and employment history, benefits, use of medical and rehabilitative services.

Authority for maintenance of the system: Section 702 of the Social Security Act (42 USC, Section 902) Section 1110 of the Social Security Act (42 USC, Section 1310).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. To contractor under contract to the Social Security Administration (SSA), or under contract to another agency with funds provided by SSA, for the performance of research and statistical activities directly related to the Social Security Act.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Data may be stored on hard copy questionnaire forms, microfilm, punch cards, magnetic tape, disc, or printouts.

Retrievability: Files based on SSA sample populations are indexed by SSA-assigned case numbers or social security numbers. Files based on contractor sample populations are indexed by contractor-assigned case numbers which may be cross-referenced to social security numbers.

Safeguards: Magnetic tapes or other files with personal identifiers are retained in secure storage areas accessible only to authorized persons. Employees having access to records are notified of criminal sanctions for unauthorized disclosure of information about individuals. Microdata files prepared for research purposes for use outside of the research staff will be stripped of personal identifiers. For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, (such as the use of passwords, locked files, etc.) restricting access to authorized personnel.

Retention and disposal: Hard copy questionnaires will be destroyed when survey reports are completed. Records with identifiers will be held in secure storage areas and will be retained only as long as needed for analysis. Identifiers will be removed at th earliest possible time after data collection is completed. The need to retain identifiers will be evaluated at the time each survey is completed. Records with identifiers will be disposed of as soon as they are determined to be no longer needed. Means of disposal will be appropriate to the record storage medium, e.g., erasure of tapes, shredding of printouts, etc. As long as identifiable records exist, a periodic review will be made at least every two years to determine the need for their retention. In longitudinal studies, working files are stripped of identifiers and given randomly assigned case numbers. A separate link file will be maintained in secure storage for updating with individual identifiers.

System manager(s) and address:

Assistant Commissioner for Research and Statistics
Social Security Administration
Universal North Building/Room 1121
1875 Connecticut Avenue, N.W.
Washington, D.C. 20009

Notification procedure: For purposes of access, write to the system manager. He will request name of the system and social security number (on a voluntary basis). Also to verify identity, provide name (woman's maiden name, if applicable), address, date of birth, and sex.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, pg.47410).

Contesting record procedures: Write the system manager at the address above and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, pg.47411).

Record source categories: Survey data obtained by the contractor; SSA administrative records.

Systems exempted from certain provisions of the act: None.

09-60-0200

System name: Retirement and Survivors Studies Survey Records (Statistics) - HEW/SSA/OPP

Security classification: None.

System location:

Social Security Administration
6401 Security Blvd.
Baltimore, Maryland 21235

Bureau of the Census
Washington, D.C.
Jeffersonville, Indiana

Social Security Administration
1875 Connecticut Avenue, N.W.
Washington, D.C. 20009

Contractor sites: Addresses may be obtained by writing to the system manager (see below)

Categories of individuals covered by the system: Sample groups of adults or children who are current, past or potential recipients of Social Security payments, or pension or survivor benefits from public or private sources.

Categories of records in the system: Socio-economic, demographic, medical, insurance, welfare, attitudes, earnings, employment, and benefits.

Authority for maintenance of the system: Section 702 of the Social Security Act (42 USC, Section 902)

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. To contractor under contract to the Social Security Administration (SSA), or under contract to another agency with funds provided by SSA, for the prformance of research and statistical activities directly related to the Social Security Act.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Data may be stored on hard copy questionnaire forms, microfilm, punch cards, magnetic tape, disc, or printouts.

Retrievability: Files based on SSA sample populations are indexed by SSA-assigned case numbers. Files based on Census sample populations are indexed by Census-assigned case numbers. Cross-reference to social security numbers may exist during data collection.

Safeguards: Magnetic tapes or other files with personal identifiers are retained in secure storage areas accessible only to authorized persons. Employees having access to records are notified of criminal sanctions for unauthorized disclosure of inforamtion about individuals. Microdata files prepared for research purposes for use outside of the research staff will be stripped of personal identifiers. For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, (such as the use of passwords, locked files, etc.) restricting access to authorized personnel.

Retention and disposal: Hard copy questionnaires will be destroyed when survey reports are completed. Records with identifiers will be held in secure storage areas and will be retained only as long as needed for SSA analysis. Identifiers will be removed at the earliest possible time after data collection is completed. The need to retain identifiers will be evaluated at the time each survey is completed. Records with identifiers will be disposed of as soon as they are determined to be no longer needed. Means of disposal will be appropriate to the record storage medium, e.g., erasure of tapes, shredding of printouts, etc. As long as identifiable records exist, a periodic review will be made at least every two years to determine the need for their retention. In longitudinal studies, working files are stripped of identifiers and given randomly assigned case numbers. A separate link file will be maintained in secure storage for updating with individual identifiers.

System manager(s) and address:

Assistant Commissioner for Research and Statistics
Social Security Administration
Universal North Building/Room 1121
1875 Connecticut Avenue, N.W.
Washington, D.C. 20009

Notification procedure: For purposes of access, write to the system manager. He will request name of the system and social security number (on a voluntary basis). Also to verify identity, provide name (woman's maiden name, if applicable), address, date of birth, and sex.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, pg.47410).

Contesting record procedures: Write the system manager at the address above and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, pg.47411).

Record source categories: SSA administrative records (e.g. Master Beneficiary Record, earnings recordings and self-employment income systems and/or survey data collected by contractor. Bureau of the Census records may be used to create sampling frame.

Systems exempted from certain provisions of the act: None.

09-60-0201

System name: Retirement and Survivors Studies Records and Extracts (Statistics) HEW/SSA/OPP

Security classification: None.

System location:

Social Security Administration
6401 Security Blvd.
Baltimore, Maryland 21235

Social Security Administration
1875 Connecticut Avenue, N.W.
Washington, D.C. 20009

Contractor sites: Addresses may be obtained by writing to the system manager (see below)

Categories of individuals covered by the system: Sample groups of adults or children who are current, past, or potential recipients of Social Security payments, or pension or survivor benefits from public or private sources.

Categories of records in the system: Socio-economic, demographic, medical, insurance, welfare, earnings, employment, benefits.

Authority for maintenance of the system: Section 702 of the Social Security Act (42 USC, Sec.902)

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an indivdual in response to an inquiry from the congressional office made at the request of that individual. To contractor under contract to the Social Security Administration (SSA), or under contract to another agency with funds provided by SSA, for the performance of research and statistical activities directly related to the Social Security Act.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Data may be stored on hard copy forms, microfilm, magnetic tape, disc, punch cards, or printouts.

Retrievability: Files are indexed by social security number. Data are used within the Office of Research and Statistics for program planning and evaluation purposes, to identify changes in the beneficiary populations, and to evaluate benefit adequacy, etc.

Safeguards: Magnetic tapes or other files with personal identifiers are retained in secure storage areas accessible only to authorized persons. Employees having access to records are notified of criminal sanctions for unauthorized disclosure of information about individuals. Microdata files prepared for research purposes outside the research staff will be stripped of personal identifiers. For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, (such as the use of passwords, locked-files, etc.) restricting access to authorized personnel.

Retention and disposal: Records with identifiers will be held in secure storage aareas and will be disposed of as soon as they are determined to be no longer needed for SSA analysis. Means of disposal will be appropriate to the record storage medium, e.g., erasure of tapes, shredding of printouts, etc. As long as identifiable records exist, a periodic review will be made at least every two years to determine the need for their retention.

System manager(s) and address:

Assistant Commissioner for Research and Statistics
Social Security Administration
Universal North Building/Room 1121
1875 Connecticut Avenue, N.W.
Washington, D.C. 20009

Notification procedure: For purpose of access, write to the system amanger. He will request name of the system and social security number (on a voluntary basis). Also, to verify identity, provide name (woman's maiden name, if applicable), address, date of birth, and sex.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with DHEW Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, pg.47410).

Contesting record procedures: Write the system manager at the address specified above and reasonably identify the record and specify the information contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, pg.47411).

Record source categories: Master beneficiary record, earnings recordings and self-employment income system.

Systems exempted from certain provisions of the act: None.

09-60-0202

System name: Old Age, Survivors and Disability Beneficiary and Worker Records and Extracts (Statistics) HEW/SSA/OPP

Security classification: None.

System location:

Social Security Administration
6401 Security Blvd.
Baltimore, Maryland 21235

Contractor sites: Addresses may be obtained by writing to the system manager (see below)

Categories of individuals covered by the system: Groups of applicants for and recipients of social security old age, survivors, disability and black lung benefits, persons with taxable earnings, persons issued social security numbers. Most files are samples of selected subgroups.

Categories of records in the system: Socio-economic, demographic, medical and disability characteristics, earnings, employment history, benefits, and use of medical and rehabilitative services.

Authority for maintenance of the system: Section 702 of the Social Security Act (42 USC, Section 902)

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. To contractor under contract to the Social Security Administration (SSA), or under contract to another

agency with funds provided by SSA, for the performance of research and statistical activities directly related to the Social Security Act.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Data may be stored on hard copy forms, magnetic tape, microfilm, disc, punch cards, or printouts.

Retrievability: Files are indexed by social security number. Data are used within the Office of Research and Statistics for statistical purposes related to the administration and evaluation of old-age, survivors, disability and black lung benefit programs.

Safeguards: Magnetic tapes or other files with personal identifiers are retained in secure storage areas accessible only to authorized persons. Employees having access to records are notified of criminal sanctions for unauthorized disclosure of information about individuals. Microdata files prepared for research purposes outside the research staff will be stripped of personal identifiers. For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, (such as the use of passwords, locked-files, etc.) restricting access to authorized personnel.

Retention and disposal: Records with identifiers will be held in secure storage areas and will be disposed of as soon as they are determined to be no longer needed for SSA analysis. Means of disposal will be appropriate to the record storage medium, e.g., erasure of tapes, shredding of printouts, etc. As long as identifiable records exist, a periodic review will be made at least every two years to determine the need for their retention.

System manager(s) and address:

Assistant Commissioner for Research and Statistics
Social Security Administration
Universal North Building/Room 1121
1875 Connecticut Avenue, N.W.
Washington, D.C. 20009

Notification procedure: For purposes of access, write to the system manager. He will request name of the system and social security number (on a voluntary basis). Also, to verify identity, provide name (woman's maiden name, if applicable), address, date of birth, and sex.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with DHEW Regulation (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, pg.47410).

Contesting record procedures: Write the system manager at the address specified above and reasonably identify the record and specify the information contested. . (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, pg.47411).

Record source categories: Master beneficiary record, earnings recordings and self-employment income system, and other SSA records related to earnings and applications for, or payment of benefits. For selected employers, lists of persons working in covered employment.

Systems exempted from certain provisions of the act: None.

09-60-0203

System name: Supplementary Security Income (SSI) Studies Survey Records (Statistics) HEW/SSA/OPP

Security classification: None.

System location:

Social Security Administration
6401 Security Blvd.
Baltimore, Maryland 21235

Social Security Administration
1875 Connecticut Avenue, N.W.
Washington, D.C. 20009

Bureau of the Census
Washington, D.C.
Jeffersonville, Indiana

Contractor sites: Addresses may be obtained by writing to the system manager (see below)

Categories of individuals covered by the system: Sample groups of persons and families receiving or potentially eligible to receive welfare assistance under the SSI and related Federal/State welfare programs, including Aid to Families with Dependent Children, General Assistance, Emergency Assistance and Food Stamps, other persons or families, regardless of SSI or poverty status, for use within the same system of records for comparison purposes with persons or families in the above categories. Federal/State personnel responsible for the administration of SSI and related welfare programs.

Categories of records in the system: Socio-economic, demographic, medical and disability characteristics, living conditions, attitudes, earnings and employment history, benefits, use of medical and rehabilitative services, participation on SSI and related Federal/State welfare programs

Authority for maintenance of the system: Section 702 of the Social Security Act (42 USC, Section 902)

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. To contractor under contract to the Social Security Administration (SSA), or under contract to another agency with funds provided by SSA, for the performance of research and statistical activities directly related to the Social Security Act.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Data may be stored on hard copy questionnaire forms, microfilm, punch cards, magnetic tape, disc, or printouts.

Retrievability: Files based on SSA sample populations are indexed by SSA-assigned case numbers or social security numbers. Files based on Census sample populations are indexed by Census-assigned case numbers cross-referenced to social security numbers.

Safeguards: Magnetic tapes or other files with personal identifiers are retained in secure storage areas accessible only to authorized persons. Employees having access to records are notified of criminal sanctions for unauthorized disclosure of information about individuals. Microdata files prepared for research purposes for use outside of the research staff will be stripped of personal identifiers. For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, (such as the use of passwords, locked files, etc.) restricting access to authorized personnel.

Retention and disposal: Hard copy questionnaires will be destroyed when survey reports are completed. Records with identifiers will be held in secure storage areas and will be retained only as long as needed for SSA analysis. Identifiers will be removed at the earliest possible time after data collection is completed. The need to retain identifiers will be evaluated at the time each survey is completed. Records with identifiers will be disposed of as soon as they are determined to be no longer needed. Means of disposal will be appropriate to the record storage medium, e.g., erasure of tapes, shredding of printouts, etc. As long as identifiable records exist, a periodic review will be made at least every two years to determine the need for their retention. In longitudinal studies, working files are stripped of identifiers and given randomly assigned case numbers. A separate link file will be maintained in secure storage for updating with individual identifiers.

System manager(s) and address:

Assistant Commissioner for Research and Statistics
Social Security Administration
Universal North Building/Room 1121
1875 Connecticut Avenue, N.W.
Washington, D.C. 20009

Notification procedure: For purposes of access, write to the system manager. He will request name of the system and social security number (on a voluntary basis). Also to verify identity, provide name (woman's maiden name, if applicable), address, date of birth, and sex.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, pg.47410).

Contesting record procedures: Write the system manager at the address above and reasonably identify the record and specify the information to be contested. (These procedures are in accordance

with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, pg.47411).

Record source categories: SSA administrative records (e.g. the Supplemental Security Income Record, SSI applications, Master Beneficiary Record, earnings recordings and self-employment income system, disability case folders, etc.), program records for related Federal/State welfare programs, and/or survey data collected by contractor. Bureau of the Census records may be used to create sampling frame.

Systems exempted from certain provisions of the act: None.

09-60-0204

System name: Supplementary Security Income (SSI) Studies Records and Extracts (Statistics) HEW/SSA/OPP

Security classification: None

System location:

Social Security Administration
6401 Security Blvd.
Baltimore, Maryland 21235

Social Security Administration
1875 Connecticut Avenue, N.W.
Washington, D.C. 20009
Contractor sites: Addresses may be obtained by writing to the systems manager (see below)

Categories of individuals covered by the system: Samples of applicants and recipients of benefits under the SSI program; samples of applicants and recipients of welfare assistance under related programs, including Aid to Families with Dependent Children (AFDC), General Assistance, Emergency Assistance and Food Stamps; specially selected subsets of applicants/recipients from the above programs.

Categories of records in the system: Socio-economic, demographic, medical and disability characteristics; earnings, employment history, participation in and benefits received under the SSI and related welfare programs, and use of medical and rehabilitative services.

Authority for maintenance of the system: Section 702 of the Social Security Act (42 USC, Section 902).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. To contractor under contract to the Social Security Administration (SSA), or under contract to another agency with funds provided by SSA, for the performance of research and statistical activities directly related to the Social Security Act.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Data may be stored on hard copy forms, microfilm, magnetic tape, disc, punch cards, or printouts.

Retrievability: Files are indexed by social security number. Data are used within the Office of Research and Statistics for program planning and evaluation purposes such as participation in and relative effectiveness of the SSI and related welfare programs, determination of the characteristics of program applicants and benefit recipients, etc.

Safeguards: Magnetic tapes or other files with personal identifiers are retained in secure storage areas accessible only to authorized persons. Employees having access to records are notified of criminal sanctions for unauthorized disclosure of information about individuals. Microdata files prepared for research purposes outside the research staff will be stripped of personal identifiers. For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines will be used, (such as the use of passwords, locked-files, etc.) restricting access to authorized personnel.

Retention and disposal: Records with identifiers will be held in secure storage areas and will be disposed of as soon as they are determined to be no longer needed for SSA analysis. Means of disposal will be appropriate to the record storage medium, e.g., erasure of tapes, shredding of printouts, etc. As long as identifiable records exist, a periodic review will be made at least every two years to determine the need for their retention.

System manager(s) and address:

Assistant Commissioner for Research and Statistics
Social Security Administration
Universal North Building/Rm 1121
1875 Connecticut Avenue, N.W.
Washington, D.C. 20009

Notification procedure: For purposes of access, write to the system manager. He will request name of the system and social security number (on a voluntary basis). Also, to verify identity, provide name (woman's maiden name, if applicable), address, date of birth, and sex.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, pg.47410).

Contesting record procedures: Write the system manager at the address specified above and reasonably identify the record and specify the information contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, pg.47411).

Record source categories: Supplemental Security Income Record, SSI applications, State supplied SSI data, program records of other Federal/State welfare programs, master beneficiary record, earnings recordings and self-employment income system, disability claims folder, disability data record, Health Insurance Master file and related files, and other SSA administrative records; case service reports of the Vocational Rehabilitation Agencies.

Systems exempted from certain provisions of the act: None.

(1) (2) (3) (4) (5) (7) (8) (9) (10) (13) (14)

09-60-0205

System name: Indochina Refugee and Sponsor System, HEW-OS-IRTF (Indochina Refugee Task Force) VOLAG Billing and Validation System, VOLAG Program Progress Reporting System, HEW/SRS Refugee Financial Assistance System HEW SSA OFA.

Security classification: None.

System location:

Donohoe Bldg., HEW/SSA/OFA/Special Programs Staff
400 6th Street., S.W.
Washington, D.C.
and at HEW Computer Center, HEW/DMC-DSP
330 Independence Ave., S.W.
Washington, D.C.

Categories of individuals covered by the system: Individuals who are refugees from Indochina as defined in the authorizing legislation and individuals and voluntary resettlement agencies (VOLAGS) who have sponsored refugees.

Categories of records in the system: Names and addresses of individuals and voluntary resettlement agencies (VOLAGS) who sponsored refugees. Names of refugees, resettlement camp ID Numbers, INS Alien Number, Age, Sex, English-speaking capability, Education, Occupational skills, Health status, and Administrative data (e.g., arrival date, camp assignment, camp departure date, destination). VOLAG billing and validation data including progress reports on status of refugees, HEW/SRS refugee financial assistance data.

Authority for maintenance of the system: The Indochina Migration and Refugee Assistance Act of 1975 (P.L. 94-23).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: In accord with the Privacy Act of 1974 (P.L. 93-579); as listed in Departmental Regulations (45 CFR Part 5b), Appendix B, items 1, 3, 4, 5, 6, 8, 9. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in electromagnetic form (disk and tape) in a dedicated IBM 370/165 computer located at:

HEW/DMC-DSP
330 Independence Ave., S.W.
Washington, D.C.

Hard copy (printouts) are maintained at:

HEW/SSA/OFA/Special Programs Staff, Donohoe Building, Room 1123
400 6th Street, S.W.
Washington, D.C.

Dept. of State, D/HA-ORM
Universal North Bldg., Room 604 and 912
1875 Connecticut Ave., N.W.
Washington, D.C.

Red Cross Refugee Locator Service
4th Floor
18th and D Sts., N.W.
Washington, D.C.

Retrievability: Records concerning refugees are indexed by name and cross indexed by A (Alien) number. Records are available to HEW on a need to know basis in the performance of their official duties; to other persons and organizations pursuant to the Privacy Act.

Safeguards: Direct access is restricted to the authorized staff specified above. Hardcopy and folders are maintained in limited access space. Direct access to the computer site is restricted to authorized operating personnel.

Retention and disposal: Authorization for the program terminates on September 30, 1977; HEW/SSA/OFA/Special Programs Staff will maintain records until that date, or until work is completed, whichever comes first, at which time another component of HEW will maintain these records.

System manager(s) and address:

Director,
Special Programs Staff/OFA/SSA/HEW
Donohoe Building - Room 1124
Dept. of Health, Education and Welfare
330 Independence Ave., S.W.
Washington, D.C. 20201

Notification procedure: Systems Manager - use mailing address above.

Record access procedures: Systems Manager.

Contesting record procedures: Systems Manager.

Record source categories: Evacuee file from IATR (Inter-agency Task Force), progress reports from VOLAGS, financial assistance reports from state welfare agencies.

Systems exempted from certain provisions of the act: None.

09-60-0206

System name: Repatriate Records System. HEW SSA/OFA.

Security classification: None.

System location:

Social Security Administration, HEW
Office of Family Assistance
Special Projects Staff
Repatriate Program
330 C. Street, S.W. Room 4115
Washington, D.C. 20201

Categories of individuals covered by the system: U.S. Citizens and their dependents returned from foreign countries by the Department of State because of mental or physical illness, destitution, war, threat of war or international crisis.

Categories of records in the system: Identifying data such as name, date and place of birth, Social Security number, resources, employment, eligibility for other Federal, State or local programs and related data. Other categories include State and Regiuonal reports, correspondence and accounting data, fund accounting data, educational data, and employment records and skills, financial reports, military service and civil and/or criminal records.

Authority for maintenance of the system: Public Law 86-571, Public Law 87-64 (Title XI of the Social Security Act, Section 1113).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Provides a basis for the expenditure of Federal funds. Information is used for the administration of the programs, by HEW regional staff, State and local health and welfare agencies and other private and public agencies as required. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components, or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in individual case folders by program office. Records are indexed by name and stored in locked metal cabinets. Files are confidential. Records are maintained for five years prior to retirement to the Federal Records Center, Suitland, Md.

Retrievability: Records are indexed by name and are maintained in alphabetical order. Active and closed files are maintained. State expenditure funds are maintained.

Safeguards: Files are stored in metal cabinets with lock and key. Files are of a confidential nature and other personnel would not normally have access to their contents.

Retention and disposal: The policy is to maintain records for five years and then send them to the Federal Records Center in Suitland, Maryland. Some records are maintained in the active files for considerably longer periods.

System manager(s) and address:

Repatriation Program Officer
Office of Family Assistance/SSA HEW
330 C. Street, S.W.
Washington, D.C. 20201

Notification procedure: Same as above.

Record access procedures: Same as above.

Contesting record procedures: Same as above.

Record source categories: Information is secured from the individual or his relative and submitted to HEW by the Department of State.

09-60-0207

System name: Cuban Refugee Registration Records. HEW SSA/OFA.

Security classification: None.

System location:

U. S. Cuban Refugee Emergency Center
747 Ponce de Leon Boulevard
Miami, Florida 33134

Categories of individuals covered by the system: Cuban refugees who, on their own initiative, have registered at the Cuban Refugee Emergency Center in order to qualify for Federal benefits under the Cuban Refugee Program. (Registration is not required).

Categories of records in the system: Name, names of family members, places and dates of birth, occupation, and related data.

Authority for maintenance of the system: Migration and Refugee Assistance Act of 1962.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. Voluntary resettlement agencies working under contract with Federal Government in connection with possible resettlement of refugees from Miami to other locations.

2. Cuban Refugee Assistance Program, Florida Division of Family Services, to verify eligibility of refugee to apply for Cuban refugee assistance.

3. State welfare agencies to verify eligibility under Cuban Refugee Program and to enable State to claim Federal reimbursement for assistance provided.

4. HEW Regional Offices in order to provide information to State welfare agencies.

5. Federal law enforcement and security agencies, including the Federal Bureau of Investigation and the Immigration and Naturalization Service, when requested.

6. Courts, when subpoenaed.

7. Statistical research and reporting, provided the record will be used solely as a statistical research or reporting record and is to be transferred in a form that is not individually identifiable.

8. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tape and punched card.

Retrievability: Name, Center file number, alien registration number.

Safeguards: Locked areas, access only by record and data processing personnel to record areas, or accompanied by such personnel; guard service during non-office hours.

Retention and disposal: Records will be maintained permanently for the duration of the Program.

System manager(s) and address:

Administrator
Cuban Refugee Emergency Center
Post Office Box 342057
Miami, Florida 33134

Notification procedure: Same as above.

Record access procedures: Same as above.

Contesting record procedures: Same as above.

Record source categories: Individual who is subject of record.

APPENDIX A Retirement and Survivors Insurance Claims

1. Determining Appropriate Office to Contact

Records relating to retirement and survivor insurance claims are maintained primarily in six program service centers across the country. The responsibility for the payment of benefits and the maintenance of records is assigned to each office according to the first three digits of the social security number.

However, if the only individual entitled to survivor's monthly benefits on one claim number is also entitled to a retirement benefit on another claim number, the office which is assigned the responsibility for the retirement benefit claim also handles the survivor claim. If the only individual on the record is entitled to a survivor benefit which has been reduced because the survivor is under age 65, and the individual is also entitled to a disability benefit (which is higher), on another record, the Bureau of Disability Insurance certifies the payments and maintains both records (see Appendix B). The Bureau of Disability Insurance is also responsible for payment certification and record maintenance if the only survivor on a record is entitled as a childhood disability beneficiary and the survivor is also entitled to a disability benefit on another record.

In addition, when one of the indiviudals in the record resides outside the United States or its possessions, the responsibility for payment certification and record maintenance is assigned to the Division of International Operations without reference to the social security claim number or the type of benefit.

With the exceptions noted above, the appropriate program service center to contact can be determined by checking the first three (left side) digits of the social security number and comparing to the chart below. For example, if the first three digits are 076, the appropriate program service center to contact will be the Northeastern Program Service Center; similarly, if the first three digits were 437, the appropriate office would be Mid-America Program Service Center, and if they are 728, the appropriate office would be the Great Lakes Program Service Center.

If the first three digits fall within the range of:

001 - 134 contact the Northeastern Program Service Center;
135 - 222 the Mid-Atlantic Program Service Center;
223 - 231 the Southeastern Program Service Center;
232 - 236 the Mid-Atlantic Program Service Center;
237 - 267 the Southeastern Program Service Center;
268 - 302 the Great Lakes Program Service Center;
303 - 315 the Mid-America Program Service Center;
316 - 399 the Great Lakes Program Service Center;
400 - 428 the Southeastern Program Service Center;
429 - 500 the Mid-America Program Service Center;
501 - 504 the Western Program Service Center;
505 - 515 the Mid-America Program Service Center;
516 - 524 the Western Program Service Center;
525 the Mid-America Program Service Center;
526 - 576 the Western Program Service Center;
577 - 584 the Mid-Atlantic Program Service Center;
585 the Mid-America Program Service Center;
586 the Western Program Service Center;
587 the Southeastern Program Service Center; or
700 - 729 the Great Lakes Program Service Center.

2. Office Addresses

Regional Commissioner, RSI
Northeastern Program Service Center
96-05 Horace Harding Expressway
Flushing, New York 11368

Regional Commissioner, RSI
Mid-Atlantic Program Service Center
P. O. Box 3579
Philadelphia, Pennsylvania 19123

Regional Commissioner, RSI
Southeastern Program Service Center
2001 Twelfth Avenue, North
Birmingham, Alabama 35285

Regional Commissioner, RSI
Great Lakes Program Service Center
165 North Canal Street
Chicago, Illinois 60606

Regional Commissioner, RSI
Mid-America Program Service Center
601 East Twelfth Street
Kansas City, Missouri 64106

Regional Commissioner, RSI
Western Program Service Center
P.O. Box 2000
Richmond, California 94802

Director
Division of International Operations
P.O. Box 1756
Baltimore, Maryland 21203

3. Office Hours

Northeastern Program Service Center - 8:20 - 4:50
Mid-Atlantic Program Service Center - 8:30 - 5:00
Southeastern Program Service Center - 8:00 - 4:30
Great Lakes Program Service Center - 8:05 - 4:35
Mid-America Program Service Center - 8:00 - 4:30
Western Program Service Center - 8:00 - 4:30
Division of International Operations - 8:15 - 4:45

Appendix B Disability Insurance Claims

1. Central Reviewing Office Address

Records relating to claims for disability insurance are maintained primarily by the:

Bureau of Disability Insurance
Baltimore, Maryland 21241
Office Hours are: 8:20-4:50

When one of the individuals in the claim resides outside of the United States, or its possessions, the record is maintained by the Division of International Operations, P. O. Box 1756, Baltimore, Maryland 21203.

2. Disability Insurance Regional Commissioner Addresses and Office Hours

Assistant Regional Commissioner, DI
DHEW, SSA, Room 1200
JFK Federal Building
Boston, Massachusetts 02203

Office Hours 8:30-5:00

Assistant Regional Commissioner, DI
DHEW, SSA
Federal Bldg., Room 4008, 26 Federal Plaza
New York, New York 10007

Office Hours 8:30-4:30

Assistant Regional Commissioner, DI
DHEW, SSA
P.O. Box 8788
Philadelphia, Pennsylvania 19108

Office Hours 8:30-5:00

Assistant Regional Commissioner, DI
DHEW, SSA
50 Seventh Street, NE, Room 628
Atlanta, Georgia 30323

Office Hours 8:30-4:30

Assistant Regional Commissioner, DI
DHEW, SSA
Room 712, New Post Office Building
300 South Wacker Drive, 12th Floor
Chicago, Illinois 60606

Office Hours 8:15-4:45

Assistant Regional Commissioner, DI
DHEW, SSA
Room 436, Federal Bldg.
601 East 12th Street
Kansas City, Missouri 64106

Office Hours 8:00-4:45

Assistant Regional Commissioner, DI
DHEW, SSA
1200 Main Tower Bldg.
1114 Commerce Street
Dallas, Texas 75202

Office Hours 8:00-4:30

Assistant Regional Commissioner, DI
DHEW, SSA
100 Van Ness Ave.
San Francisco, California 94102

Office Hours 8:00-4:30

Assistant Regional Commissioner, DI
DHEW, SSA
Federal Building, Room 11037
19th and Stout Street
Denver, Colorado 80202

Office Hours 8:30-4:30

Assistant Regional Commissioner, DI
DHEW, SSA
Arcade Plaza Building, M/S M-1
1321 Second Avenue
Seattle, Washington 98101

Office Hours 8:00-4:30

3. Related State Office Addresses

The disability claims files may be temporarily transferred to State Disability Determination Sections for initial or continuing disability determinations to be made. Vocational Rehabilitation Agencies in the States may also be involved with a disability claim from the training aspects. The State agency addresses are as follows:

Alabama

State Department of Education
Disability Determination Unit
Clairmont Office Plaza
2800 8th Avenue, South
Birmingham, Alabama 35233

Alaska

Disability Adjudicator
Disability Determination Unit
Office of Vocational Rehabilitation
830 MacKay Building
338 Denali Street
Anchorage, Alaska 99501

Arizona

Disability Certification Office
Rehabilitation Services Bureau
Department of Economic Security
P.O. Box 11980
Phoenix, Arizona 85061

Arkansas

Director
Disability Determination for Social Security Administration
Suite 700
1515 West Seventh Street
Little Rock, Arkansas 72202

California

Oakland Region

Department of Health
Disability Evaluation Branch
P.O. Box 24225
Oakland, California 94623

Los Angeles North Region

Department of Health
Disability Evaluation Program
P.O. Box 3819
Terminal Annex
Los Angeles, California 90051

San Diego Region

Department of Health
Disability Evaluation Branch

P.O. Box 81326
San Diego, California 92138

Sacramento Region

Department of Health
Disability Evaluation Branch
P.O. Box 1827
Sacramento, California 95809

Fresno Region

Department of Health
Disability Evaluation Branch
P.O. Box 1072
Fresno, California 93724

Los Angeles South Region

Department of Health
Disability Evaluation Program
P.O. Box 60999
Terminal Annex
Los Angeles, California 90060

Colorado

Department of Social Services
Division of Rehabilitation
Disability Determination Unit
2015 S. Pontiac Way
Denver, Colorado 80222

Connecticut

Bureau Chief
Division of Vocational Rehabilitation
Bureau of Disability Determination
600 Asylum Avenue, 2nd floor
Hartford, Connecticut 06105

Delaware

Administrator
Disability Determination Service
P.O. Box 988
Wilmington, Delware 19899

District of Columbia

Disability Determination Division
Vocational Rehabilitation Administration
Department of Human Resources
1411 K Street, N W., 13th Floor
Washington, D.C. 20005

Florida

Program Director
Office of Disability Determination
Dept. of Health and Rehabilitation Services
1309 Winewood Boulevard
Tallahassee, Florida 32301

Georgia

Director
Disability Determination Unit
Division of Vocational Rehabilitation
One West Court Square, Suite 300
Decatur, Georgia 30030

Guam

Division of Vocational Rehabilitation
P.O. Box 3009
Agana, Guam 96910

Hawaii

Disability Determination Branch
Vocational Rehabilitation and Service for the Blind Division
Davies Pacific Center, Suite 1212
841 Bishop Street
Honolulu, Hawaii 96813

Idaho

Director
Disability Determination
1505 McKinney
Boise, Idaho 83704

Illinois

Deputy Director
Division of Vocational Rehabilitation
Federal Disability Program
P.O. Box 3842
Springfield, Illinois 62708

Indiana

Director
Disability Determination Division
821 Illinois Building
17 West Market Street
Indianapolis, Indiana 46204

Iowa

Assistant Director
Rehabilitation Education and Services Branch
Disability Determination Division
507 10th St., 4th Floor
Des Moines, Iowa 50309

Kansas

Supervisor
Division of Vocational Rehabilitation
State Board of Social Welfare
Disability Determination Unit
Post Office Box 5057
420 East 29th
Topeka, Kansas 66605

Kentucky

Division of Disability Determinations, Department for Human Resources
Highway 127
South Frankfort, Kentucky 40601

Louisiana

Disability Determinations
Louisiana Health and Human Resources Administration
Division of Management
P.O. Box 15932
Broadview Station
Baton Rouge, Louisiana 70815

Maine

Chief
Bureau of Vocational Rehabilitation
Division of Disability Determination
P.O. Box 949
Augusta, Maine 04330

Maryland

Assistant Director
Disability Determination Program
Division of Vocational Rehabilitation
7800 York Road, 3rd Floor
Towson, Maryland 21204

Massachusetts

Director

Massachusetts Rehabilitation Commission
Disability Determination Service
60 Batterymarch Street
Boston, Massachusetts 02110

Michigan

Chief
Disability Determination Program
Division of Rehabilitation Services
P O Box 1200
Lansing, Michigan 48904
Services all DO's and BO's except Detroit: Downtown (Grand River), Northwest, Pontiac and Royal Oak

Division of Rehabilitation Services
Disability Determination Program
25,900 Greenfield Road (3r Floor)
Oak Park, Michigan 48237

Division Determination Program
Division of Vocational Rehabilitation Services
P O Box 1200
Traverse City, Michigan 49684

Minnesota

Director
Disability Determinations Unit
Division of Vocational Rehabilitation
Metro Square Building, Suite 460
Seventh and Roberts Streets
St. Paul, Minnesota 55101

Mississippi

State Supervisor
Disability Determination Unit
State Dept of Education
P O Box 1271
Jackson, Mississippi 39205

Missouri

Director
Section of Vocational Rehabilitation
Disability Determination Services
125 West Dunklin
Jefferson City, Missouri 65101

Section of Vocational Rehabilitation
Disability Determination Services
1225 N Kings Highway
Cape Girardeau, Missouri 63701

Section of Vocational Rehabilitation
Disability Determination Services
8704 Manchester Road
St. Louis, Missouri 63144

Section of Vocational Rehabilitation
Disability Determination Services
1722J South Glenstone
Springfield, Missouri 65806

Section of Vocational Rehabilitation
Disability Determination Services
1734 East 63rd St., Room 305
Kansas City, Missouri 64110

Montana

Chief
Disability Determination Bureau
Rehabilitative Services Division
P O Box 4189
Helena, Montana 59601

Nebraska

Supervisor
Division of Rehabilitation Services
Disability Determination Section State Office Bldg., 6th Floor
301 Centennial Mall
South Lincoln, Nebraska 68508

Division of Rehabilitation Services
Disability Determination Section
Room 1410 City National Bank Building
Omaha, Nebraska 68102

Nevada

Bureau of Disability Adjudication
Rehabilitation Division
Department of Human Resources
505 East King St.
Capital Complex
Carson City, Nevada 89710

New Hampshire

Supervisor
Disability Determination Unit
Vocational Rehabilitation Division
P.O. Box 452
Concord, New Hampshire 03301

New Jersey

Director
Division of Disability Determinations
Department of Labor and Industry
P.O. Box 649
Newark, New Jersey 07101

New Mexico

Supervisor
Disability Determination Unit
P.O. Box 4588
Albuquerque, New Mexico 87106

New York

Director
Bureau of Disability Determination
State Department of Social Services
2 World Trade Center
New York, New York 10047

North Carolina

Director
Disability Determination Section
Division of Social Services
Post Office Box 243
Raleigh, North Carolina 27602

North Dakota

Supervisor
Disability Determination Section
Division of Vocational Rehabilitation
Russel Building, RR01, Highway 83 North
Bismarck, North Dakota 58505

Ohio

Director
Bureau of Disability Determination
Rehabilitation Services Commission
4574 Heaton Road
Columbus, Ohio 43229

Director
Bureau of Disability Determination
Rehabilitation Services Commission
9403 Kenwood Rd.
Cincinnati, Ohio 45442

Oklahoma

Director
Department of Institutions
Social and Rehabilitative Services
Attention: Disability Insurance Unit
P.O. Box 25352
Oklahoma City, Oklahoma 73125

Oregon

Director
Vocational Rehabilitation Division
Disability Determination Operations
2045 Silverton Road, N.E.
Salem, Oregon 97310

Pennsylvania

Bureau of Vocational Rehabilitation
Disability Determination Division
1314 North Seventh Street
Harrisburg, Pennsylvania 17120

Bureau of Vocational Rehabilitation
Disability Determination Division
225 Jones Street
Wilkes-Barre, Pennsylvania 18702

Bureau of Vocational Rehabilitation
Disability Determination Division
P.O. Box 2500
Greensburg, Pennsylvania 15605

Puerto Rico

Executive Director
Disability Determination Program
Call Box 71301
San Juan, Puerto Rico 00936

Rhode Island

Supervisor
Vocational Rehabilitation Services
Disability Determination Unit
24 Mason Street
Providence, Rhode Island 02903

South Carolina

Disability Determination Division
S.C. Vocational Rehabilitation
2611 Forest Drive, Suite 200
Columbia, South Carolina 229201

Disability Determination Division
Department of Vocational Rehabilitation
615 Wesley Drive, Office Center
Charleston, South Carolina 29407

Disability Determination Division
Department of Vocational Rehabilitation
300 University Ridge, Suite 208
Greenville, South Carolina 29601

South Carolina Commission for the Blind P. O. Box 11638
Capital Section
Columbia, South Carolina 229211

South Dakota

Disability Determination Unit
Division of Vocational Rehabilitation
P.O. Box 912
Sioux Falls, South Dakota 57101

Tennessee

Coordinator
Disability Determination Section
Division of Vocational Rehabilitation
4721 Trousdale Drive
Nashville, Tennessee 37220

Texas

Texas Rehabilitation Commission
Division of Disability Determination
1 Chevy Chase
7700 Chevy Chase Drive, Austin, Texas 78752

Utah

Disability Determination Services
Division of Rehabilitation Service
Utah State Board of Education
250 East 5th South
Salt Lake City, Utah 84111

Vermont

Supervisor
Disability Determination Agency
State Office Building
Montpelier, Vermont 05602

Virgin Islands

Disability Representative
Bureau of Disability Insurance
DHEW SSA Federal Building
St. Thomas
St. Thomas, Virgin Islands 00801

Virginia

Supervisor
Disability Determination Division
Virginia Department of Vocational Rehabilitation
200 West Grace Street
Richmond, Virginia 23220

Disability Determination Div.
Virginia Department of Vocational Rehabilitation
5205 Leesburg Pike, Suite 1000
Falls Church, Virginia 22041

Disability Determination Division
Virginia Department of Vocational Rehabilitation
965 Norfolk Square
Norfolk, Virginia 23502

Disability Determination Division
Virginia Dept of Vocational Rehabilitation
4504 Starkey Road, S.W., Suite 100
Roanoke, Virginia 24014

Washington

Supervisor
Department of Social and Health Services
Disability Insurance Section, M/S 55-1
P.O. Box 2303
Olympia, Washington 98504

West Virginia

Assistant Director
Disability Determination Services
Vocational Rehabilitation Division
Mason Building, Second Floor
1206 Quarrier Street
Charleston, West Virginia 25301

Disability Determination Services
Vocational Rehabilitation Division
1206 Virginia Ave., East
Charleston, West Virginia 25301

Division of Vocational Rehabilitation
Disability Determination Section
160 Thompson Drive

Bridgeport, West Virginia 26330

Wisconsin

Bureau of Social Security Disability Insurance
P.O. Box 7623
Madison, Wisconsin 53707

Wyoming

Department of Health and Social Services
Division of Vocational Rehabilitation
Disability Determination Services
Boyd Building, 4th Floor
1720 Carey Avenue
Cheyenne, Wyoming 82001

Appendix C Health Insurance Claims

1. Central Office Address

Medicare records are maintained by the:

Bureau of Health Insurance
6401 Security Boulevard
Baltimore, Maryland 21235

Office Hours are 8:15-4:45

Records are also maintained by private insurance organizations who share in administering provisions of the health insurance program. These private insurance organizations, referred to as carriers and intermediaries, are under contract to the Social Security Administration to perform specific tasks in the Medicare program. Addresses for the intermediaries may be found under section 3, and for the carriers under section 4 below.

Health insurance records of the Medicare program can be accessed through a regional representative of the Bureau of Health Insurance.

2. Health Insurance Regional Office Addresses

BOSTON REGION--Connecticut Maine, Massachusetts, New Hamsphire, Rhode Island Vermont

John F. Kennedy Federal Building
Room 1211
Boston, Massachusetts 02203

Office Hours: 8:30-5:00

NEW YORK REGION--New Jersey, New York, Puerto Rico, Virgin Islands

26 Federal Plaza--Room 715
New York, New York 10007

Office Hours: 8:30-5:00

PHILADELPHIA REGION--Delaware District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia

P.O. Box 8788
Philadelphia, Pennsylvania 19101

Office Hours: 8:30-5:00

ATLANTA REGION--Alabama, North Carolina, South Carolina, Florida, Georgia, Kentucky, Mississippi, Tennessee

50 Seventh Street, NE
Room 250
Atlanta, Georgia 30323

Office Hours: 8:00-4:30

CHICAGO REGION--Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin

300 South Wacker Drive
Room 2800
Chicago, Illinois 60606

Office Hours: 8:15-4:45

DALLAS REGION--Arkansas, Louisiana, New Mexico, Oklahoma, Texas

1114 Commerce Street--Room 1024
Dallas, Texas 75202

Office Hours: 8:00-4:30

KANSAS CITY REGION--Iowa, Kansas, Missouri, Nebraska

New Federal Office Building
601 East 12th Street--Room 436
Kansas City, Missouri 64106

Office Hours: 8:00-4:45

DENVER REGION--Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming

Federal Office Building
19th and Stout Streets--Room 5416
Denver, Colorado 80202
(Mailing Address--Room 11037)

Office Hours: 8:00-4:30

SAN FRANCISCO REGION--American Samoa, Arizona, California, Guam, Hawaii, Nevada

Federal Office Building--Room 261A
50 Fulton Street
San Francisco, California 94102

Office Hours: 8:00-4:30

SEATTLE REGION--Alaska, Idaho, Oregon, Washington

1321 Second Avenue--Room 615
Mail Stop 630
Seattle, Washington 98101

Office Hours: 8:00-4:30

3. Intermediary Addresses (Hospital Insurance)

Medicare Coordinator
Blue Cross Blue Shield of Alabama
930 South 20th Street
Birmingham, Alabama 35205

Medicare Coordinator
Assoc. Hospital Service of Arizona
POB 13466 331 West Indian School Rd.
Pheonix, Arizona 85011

V.P. For Medicare and Medical Svcs.
Arkansas Blue Cross Blue Shield
P.O. Box 2181 601 Gaines St.
Little Rock, Arkansas 72203

Medicare Claim Administrator
Aetna Life & Casualty
2600 Wilshire Blvd.

Los Angeles, California 90057

Medicare Coordinator
Blue Cross of Southern Calif.
4777 Sunset Blvd.
Los Angeles, California 90027

Supply Supervisor
B/C of Northern Calif.
1950 Franklin St
Oakland, Calif 94659

Medicare Administrator
Aetna Life & Casualty
151 Farmington Avenue
Hartford, Connecticut 06115

Medicare Coordinator
Connecticut Blue Cross
370 Bassett Rd.
North Haven, Connecticut 06473

Medicare Coordinator
Blue Cross Blue Shield of Delaware
201 West 14th St.
Wilmington, Delaware 19899

Medicare Coordinator
Group Hospitalization Inc.
550 12th Street, SW
Washington, D.C. 20224

Medicare Coordinator
Blue Cross of Florida
532 Riverside Avenue
Jacksonville, Florida 32201

Medicare Claim Administrator
Aetna Life & Casualty
121 N. Osceola Ave.
Clearwater, Florida 33517

Medicare Coordinator
Kaiser Foundation Health Plan Inc.
1956 Webster Street, Room 310A
Oakland Calif 94612

Assistant Vice President
Blue Shield of Colorado
700 Broadway
Denver, Colorado 80203

Administrator, Medicare Claims Off.
Aetna Life & Casualty
84 Wadsworth Street
Hartford, Connecticut 06106

Medicare Administrator
Travelers Ins. Co.
One Tower Square 10PB
Hartford, Connecticut 06115

Bluecross Association
840 North Lake Shore Dr.
Chicago, Illinois 60611

Medicare Coordinator
Illinois Hospital & Health Service
227 North Wyman Street
Rockford, Illinois 61101

Medicare Claims Admin.
Aetna Life and Casualty
330 Jefferson Bldg.
331 Fulton St. 3 R
Peoria, Illinois 61602

Medicare Coordinator
Bluecross/Blueshield
310 W. Polk St. 9th Floor
Chicago, Illinois 60607

Medicare Coordinator
Blue Cross Hospital Service
120 W. Market St.
Indianapolis, Indiana 46204

Medicare Administrator
Hospital Service, Inc. of Iowa
Liberty Bldg
Des Moines, Iowa 50307

Coordinator Provider Admin.
Blue Cross of Georgia/Columbus
2357 Warm Springs Rd
Columbus, Georgia 31908

Blue Cross of Georgia/Atlanta
1010 W. Peachtree St., NW
Atlanta, Georgia 30309

Administrative Vice President
Hawaii Medical Service Administration
1504 Kapiolani Blvd
Honolulu, Hawaii 96808

Medicare Coordinator
Idaho Hospital Service, Inc.
P.O. Box 7406 1501 Federal Way
Boise, Idaho 83707

Medicare Coordinator
Maine B/C-B/S
110 Free Street
Portland, Maine 04101

Medicare Coordinator
Maryland Blue Cross, Inc.
700 E. Joppa Road
Baltimore Maryland 21204

Medicare Claims Admin.
Aetna Life & Casualty Co.
400 Mechanics National Tower
Worcester, Mass. 01608

Medicare Coordinator Part A
Massachusetts Hospital Service, Inc.
100 Summer St.
South Boston, Massachusetts 02127

Asst. Vice Pres. Govern. Aff. Dept.
Michigan Medical Services
600 Lafayette East
Detroit, Michigan 48226

Medicare Coordinator
Minnesota Hospital Service Assoc.
3535 Blue Cross Road
St. Paul, Minnesota 55111

Blue Cross of Western Iowa and S. Dakota
Third & Pierce Street
Sioux City, Iowa 51102

Medicare Administrator
Kansas Hospital Association, Inc.
1133 Topeka Avenue, P.O. Box 239
Topeka, Kansas 66601

Director, Medicare Division
Blue Cross Hospital Plan, Inc.
9901 Linn Station Road
Louisville, Kentucky 40223

Medicare Coordinator
Louisiana Hospital Service, Inc.
10225 Florida Blvd.
Baton Rouge, La. 70815

Asst. Vice Pres. Health Insurance Benefits
Mutual of Omaha Insurance Co.

Box 456 Downtown Station
Omaha, Nebraska 68101

Medicare Coordinator
Nebraska Blue Cross Hosp. Serv. Assn.
72nd & Mercy Rd.
Omaha, Nebraska 68103

Medicare Claims Admin.
Aetna Life & Casualty
P.O. Box 3077, 1535 Vassar St.
Reno, Nevada 89502

Medicare Coordinator
New Hampshire, Vermont Phys. Serv.
2 Pillsbury Street
Concord, New Hampshire 03301

Medicare Coordinator
Hospital Service Plan of New Jersey
33 Washington Street
Newark, New Jersey 07102

Medicare Coordinator
Prudential Ins. Co. of America
P.O. Box 471
Millville, New Jersey 08332

Medicare Coordinator
Mississippi Hosp. & Medical Service
I-55 North, P.O. Box 3614
Jackson, Mississippi 39207

Vice President Government Programs
Blue Shield of Kansas City
201 East Armour Street
Kansas City, Missouri 64141

Vice President
Blue Cross Hospital Service
8000 West Floressant Ave.
St. Louis, Missouri 63136

Medicare Coordinator
Blue Cross of Montana
3360 10th Ave., South
Great Falls, Montana 59405

Medicare Coordinator
Rochester Hospital Service
41 Chestnut St.
Rochester, New York 14647

Hospital Plan, Inc.
5 Hopper St.
Utica, New York 13501

Medicare Coordinator
Blue Cross of Western New York, Inc.
298 Main St., Blue Cross Bldg.
Buffalo, New York 14202

Medicare Coordinator
Blue Cross of Central New York, Inc.
344 South Warren St.
Syracuse, New York 13202

Hosp. Serv. Corp. of Jefferson Co.
158 Stone St.
Watertown, New York 13602

Vice President Medicare
North Carolina B/C & B/S
1830 Durham-Chapel Hill Blvd.
Durham, North Carolina 27702

Hospital Service, Inc.
12800 Indian School Road, NE
Albuquerque, New Mexico 87112

Medicare Coordinator
B/C B/S of Greater NY
622 Third Avenue
New York, New York 10017

Chautauqua Region Hospital Serv. Corp.
306 Spring Street
Jamestown, New York 14701

Medicare
Blue Cross of Northeastern N.Y., Inc.
1251 New Scotland Road
Slingerlands, New York 12159

Blue Cross Hospital Plan, Inc.
4150 Belden Village St.
Canton, Ohio 44718

Associated Hospital Service, Inc.
2400 Market Street
Youngstown, Ohio 44507

Medicare Coordinator
Hosp. Serv. Assn. of Toledo
3737 Sylvania Ave.
Toledo, Ohio 43623

Medicare Coordinator
Blue Cross of Northeast Ohio
Rear of 823 Prospect Avenue
Cleveland, Ohio 44115

Hospital Service, Inc.
7 Public Square
Lima, Ohio 45801

Director, Medicare Oper.
Blue Cross Association
P.O. Box 1738, 1215 South Boulder
Tulsa, Oklahoma 74102

Medicare Coordinator
Blue Cross of North Dakota
301 Eighth St., South
Fargo, North Dakota 58102

Medicare Coordinator
Blue-Cross of Southwest Ohio
1351 William Howard Taft Road
Cincinnati, Ohio 45206

Medicare Systems & Procedures Div.
Nationwide Insurance Co.
50 W. Gay St.
Columbus, Ohio 43215

Medicare Coordinator
Blue Cross of Central Ohio
255 East Main St.
Columbus, Ohio 43216

Director, Medicare Division
Blue Cross of Greater Philadelphia
1333 Chestnut Street
Philadelphia, Penna. 19107

Project Staff Medicare
Blue Cross of Western Pennsylvania
One Smithfield Street
Pittsburgh, Penn. 15222

Medicare Coordinator
Blue Cross of N.E. Pennsylvania
15 S. Franklin St.
Wilkes Barre, Pennsylvania 18701

Medicare Coordinator Cooperative De.
Seguros De Vida De Puerto Rico
Ave. Munoz Rivera 550
Hato Rey, Puerto Rico 00900

Medicare Coordinator

Blue Cross of Rhode Island
444 Westminister Mall
Providence, Rhode Island 02901

Medicare Coordinator
Blue Cross Blue Shield of S.C.
Drawer F Forest Acres Branch
Columbia, South Carolina 29206

Medicare Coordinator
Blue Cross of Oregon
100 SW Market St
Portland, Oregon 97201

Medicare Coordinator
Blue Cross of Lehigh Valley
1221 Hamilton St
Allentown, Pa. 18102

Medicare Coordinator
Capital Blue Cross
100 Pine St. (Inside Delivery)
Harrisburg, Pennsylvania 17101

President
Inter City Hospitalization Plan
Foxcroft Square, 9th Floor
Jenkintown, Penna. 19046

Medicare Coordinator
Blue Cross of Utah
2455 Parleys Way P O Box 270
Salt Lake City, Utah 84110

B/C-B/S of Southwestern Va.
3959 Electric Rd., SW
Roanoke, Virginia 24045

Manager, Government Programs
Blue Cross and Blue Shield
2015 Staples Mill Road, P.O. Box 27401
Richmond, Virginia 23279

Medicare Coordinator
Blue Cross Washington Alaska, Inc.
601 Broadway
Seattle, Washington 98122

Medicare Coordinator
Parkersburg Hospital Service, Inc.
203 Union Trust Building
Parkersburg, West Virginia 26101

Medicare Coordinator
Wyoming Hospital Service
4020 House Ave., P O Box 2266
Cheyenne, Wyoming 82001

Medicare Coordinator
Memphis Hospital Service Surgical Assn.
85 N. Danny Thomas Blvd.
Memphis, Tenn. 38101

Medicare Coordinator
Blue-Cross Blue Shield of Tenn.
801 Chestnut St.
Chattanooga, Tennessee 37402

Medicare Admin.
Aetna Life & Casualty
161 Jefferson Ave. Inside Del.
Memphis, Tenn. 38101

Office Services
Texas BC BS 14th Fl. Rm. 1402
3000 Diamond Park
Dallas, Texas 25247

Social Security Administration
Bureau of Health Insurance
Director, Div. of Direct Reimbursement
6401 Security Boulevard
Room 1A5, East Building
Baltimore, Maryland 21235

Medicare Coordinator Blue Cross
Hospital Service, Inc.
Commerce Square, P.O. Box 1353
Charleston, West Virginia 25325

Director of Fed. Programs
West Virginia Hospital Service, Inc.
20th & Chapline Sts.
Wheeling, West Virginia 26003

Medicare Administration
Aetna Life & Casualty Co.
200 West Thomas Bldg.
Seattle, Washington 98119

Medicare Coordinator
Associated Hospital Service, Inc.
4115 North Teutonia Ave.
Milwaukee, Wisconsin 53201

Carrier Addresses (Supplementary Medical Insurance)

Medicare Coordinator
Blue Cross Blue Shield of Alabama
930 South 20th Street
Birmingham, Alabama 35203

Medicare Claim Admin.
Aetna Life Casualty
3010 West Fairmount Ave.
Phoenix, Arizona 85017

V.P. for Medicare & Medical Svcs.
Arkansas Blue Cross Blue Shield
P.O. Box 2181, 601 Gaines St.
Little Rock, Arkansas 72203

Medicare Coordinator
California Blue Shield
400 Second Street
San Francisco, Calif. 94109

Medicare Coordinator
Occidental Life Ins. Co. of Calif.
P.O. Box 54305 Terminal Annex
Los Angeles, California 90054

Assistant Vice President
Blue Shield of Colorado
700 Broadway
Denver, Colorado 80203

Medicare Administrator
Travelers Ins. Co.
One Tower Square 10PB
Hartford, Conn. 06115

Medicare Administrator
Aetna Life & Casualty
151 Farmington Ave.
Hartford, Connecticut 06115

Medicare Coordinator
Connecticut General Life Insurance Co.
200 Pratt Street
Meriden, Connecticut 06450

Medicare Coordinator
Blue Cross Blue Shield of Delaware
201 West 14th St.
Wilmington, Delaware 19899

Medicare Coordinator
Medical Service of D.C.
550 12th Street, SW
Washington, D.C. 20024

Medicare Coordinator
Blue Shield of Florida, Inc.
P O Box 1798
Jacksonville, Florida 32201

Group Health Inc
1320 South Dixie Highway
Coral Gables, Florida 33146

Medicare Administrator
Prudential Ins Co of America
1175 Peachtree St NE P.O. Box 7340 Sta.
Atlanta, Georgia 30309

Medicare Claim Admin.
Aetna Life Casualty
1000 Bishop Street, P O Box 3947
Honolulu, Hawaii 96813

Medicare
The Equitable Life Assurance Society
P O Box 8048 Hillcrest Plaza Shop.
Boise, Idaho 83707

Supervisor Continental Casualty Co.
Medicare Benefits Division
310 South Michigan Ave. 22E
Chicago, Illinois 60604

Medicare Coordinator
Blue Cross/Blue Shield
310 W Polk St., 9th Floor
Chicago, Illinois 60607

Assistant Vice Pres Medicare Dept.
Blue Shield of Indiana
120 West Market St.
Indianapolis, Indiana 46204

Assistant Executive Director
Blue Shield
5th Floor Liberty Bldg.
Des Moines, Iowa 50308

Medicare Administrator
Kansas Medical Association, Inc.
1133 Topeka Blvd., P.O. Box 239
Topeka, Kansas 66601

Manager
Metropolitan Life Insurance Co.
1218 Harrodsburg Road, Suite 300
Lexington, Kentucky 40504

Manager, Medicare Liaison
Pan American Life Insurance Co.
2330 Canal St., 3rd Floor
New Orleans, La. 70119

Medicare Coordinator
Union Mutual Life Insurance Co.
2211 Congress Street
Portland, Maine 04112

Medicare Coordinator
Maryland Blue Shield, Inc.
700 E. Joppa Road
Balto., Md. 21204

Medicare Coordinator Part B
Massachusetts Blue Shield
100 Summer St.
South Boston, Massachusetts 02127

Asst. Vice Pres. Govern. Aff. Dept.
Michigan Medical Services
600 Lafayette East
Detroit, Mich. 48226

Vice President
Minnesota Medical Services, Inc.
2344 Nicollet Ave.
Minneapolis, Minn. 55404

Vice President Government Programs
Blue Shield of Kansas City
201 East Armour Street
Kansas City, Missouri 64141

Dir Medicare Admin.
General American Life Insurance Corp.
P O Box 396
St. Louis, Missouri 63166

Montana Physicians Service
404 Fuller
Helena, Mont. 59601

Asst. Vice Pres Health Insurance Benefits
Mutual of Omaha Insurance Co.
Box 456 Downtown Station
Omaha, Nebraska 68101

Medicare Claims Admin.
Aetna Life & Casualty
P O Box 3077, 1535 Vassar St.
Reno, Nevada 89502

Medicare Coordinator
New Hampshire Vermont Phys. Serv.
2 Pillsbury Street
Concord, New Hampshire 03301

Medicare Coordinator
Prudential Ins. Co. of America
P O Box 471
Millville, New Jersey 08332

Medicare
The Equitable Life Assurance Society
605 San Mateo SE
Albuquerque, New Mexico 87108

Director of Med. Part B
Blue Shield of Western New York, Inc.
298 Main Street
Buffalo, New York 14202

Medicare Coordinator
Group Health Insurance, Inc.
227 West 40th Street
New York, New York 10018

Medicare Coordinator
Genesee Valley Medical Care, Inc.
41 Chestnut Street
Rochester, New York 14604

Medicare Coordinator
B/C B/S of Greater N.Y.
622 Third Avenue
New York, New York 10017

Medicare Coordinator
The Equitable Life Assur. Soc.
1285 Avenue of the Americas
New York, New York 10013

Manager
Metropolitan Life Insurance Company
258 Genesee Street
Utica, New York 13502

Senior Vice President
Metropolitan Life Ins. Company
One Madison Avenue
New York, N.Y. 10010

Medicare Coordinator B Division
Prudential Life Insurance Co.
College Village Shopping Center
Highpoint, North Carolina 27262

Medicare Coordinator
Blue Shield of North Dakota
301 South Eight Street
Fargo, North Dakota 58102

Medicare Systems & Procedures Div.
Nationwide Insurance Co.
50 W Gay St
Columbus, Ohio 43215

Department of Institutions
Social & Rehabilitative Services
Box 25352 State Capital Station
Oklahoma City, Oklahoma 73125

Medicare Claims Admin.
Aetna Life & Casualty
Glenbrook Center, 1140 NW 63rd St.
Oklahoma City, Oklahoma 73116

Medicare Claims Admin.
Aetna Life & Casualty
1500 SW First Crown Plaza Bldg.
Portland, Oregon 97201

Medicare Coordinator
Pennsylvania Blue Shield
Blue Shield Building
Camp Hill, Pennsylvania 17011

Chief, Internal Oper Seguros
Deservicio Desalvd DePuerto Ri.
Ponce De Leon Ave 104
Hato Rey, Puerto Rico 00919

Medicare Coordinator
R.I. Medical Society Physicians Serv.
444 Westminister Mall
Providence, Rhode Island 02901

Medicare Coordinator
Blue Cross Blue Shield of S.C.
Drawer F Forest Acres Branch
Columbia, South Carolina 29206

Assistant Executive Director
South Dakota Medical Service, Inc.
711 North Lake Avenue
Sioux Falls, South Dakota 57102

The Equitable Life Assurance Society
First American Ctr 20th Floor
Deaderick at Fourth Ave.
Nashville, Tennessee 37238

Office Services
Texas BC BS 14th Fl., Rm. 1402
3000 Diamond Park
Dallas, Texas 75247

Manager Part B
Blue Shield of Utah
2455 Parleys Way, P.O. Box 270
Salt Lake City, Utah 84110

Asst. Administrator
Washington Physicians Service
220 W Harrison
Seattle, Washington 98119

Medicare Coordinator
Surgical Care Blue Shield
788 N. Jefferson St.
Milwaukee, Wisconsin 53201

Director, Medicare Claims Dept.
Wisconsin Physicians Service
330 E. Lakeside St., P.O. Box 1109
Madison Wisconsin 53701

Social Security Administration
Bureau of Health Insurance
Director Div of Direct Reimbursement
6401 Security Boulevard
Room 1A5, East Building
Baltimore, Maryland 21235

Field Director
Equitable Life Assurance Soc.
102 Indian Hills Shopping Ctr.
Cheyenne, Wyoming 82001

Appendix D Supplemental Security Income Claims

1. Addresses for Records

Supplemental Security Income claims records are maintained in district and branch offices until a decision has been made regarding eligibility (see Appendix F) If payment has been awarded, or the appeal period has closed on claims with unfavorable determinations, the claims records are sent to the following locations:

Claims for benefits based on age are maintained in the program service centers (see Appendix A);

Claims for benefits based on disability or blindness are maintained by the Bureau of Disability Insurance (see Appendix B).

2. Regional Planning office for Supplemental Security Income

Boston Region--Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont

John F Kennedy Federal Building
Government Center
Boston, Massachusetts 02203

New York Region--New Jersey, New York, Puerto Rico, Virgin Islands

26 Federal Plaza
New York, New York 10007

Philadelphia Region--Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia

3535 Market Street
Philadelphia, Pennsylvania 19101

Atlanta Region--Alabama, North Carolina, South Carolina, Florida, Georgia, Kentucky, Mississippi, Tennessee

50 Seventh Street, NE
Atlanta, Georgia 30323

Chicago Region--Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin

300 South Wacker Drive
Chicago, Illinois 60606

Dallas Region--Arkansas, Louisiana, New Mexico, Oklahoma, Texas

1114 Commerce Street
Dallas, Texas 75202

Kansas City Region--Iowa, Kansas, Missouri, Nebraska

New Federal Office Building
601 East 12th Street
Kansas City, Missouri 64106

Denver Region--Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming

Federal Office Building
19th & Stout Streets
Denver, Colorado 80202

San Francisco Region--American Samoa, Arizona, California, Guam, Hawaii, Nevada

Federal Office Building
50 Fulton Street
San Francisco, California 94102

Seattle Region--Alaska, Idaho, Oregon, Washington

1321 Second Avenue
Seattle, Washington 98101

3. Program Review Officers, Quality Assurance Regional Offices

Suite 1907
100 Summer St.
Boston, Massachusetts 02110

Service Area includes: New Hampshire, Massachusetts, Vermont and Maine

P.O. Box 7385
Corona-Elmhurst, New York 11373

Service Area Includes: Connecticut, New York, Rhode Island

P.O. Box 8788
Philadelphia, Pennsylvania 19101

Service Area Includes: Delaware, District of Columbia, Maryland, New Jersey, Pennsylvania, West Virginia, Virginia

P.O. Box 662
Birmingham, Alabama 35201

Service Area Includes: Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee

P.O. Box 7535
Chicago, Illinois 60680

Service Area Includes: Indiana, Illinois, Michigan, Ohio, Wisconsin, Minnesota

P.O. Box 15568
Kansas City, Missouri 64106

Service Area Includes: Iowa, Kansas, Missouri, Nebraska

725 Dalworth
Grand Prairie, Texas 75050
Service Area includes: Arkansas, Louisiana, New Mexico, Oklahoma, Texas

P.O. Box 42516
San Francisco, California, 94101

Service Area includes: Arizona, California, Colorado, Hawaii, Montana, Nevada, North Dakota, South Dakota, Utah, Wyoming

4735 E. Marginal Way, South
Seattle, Wash. 98134

Service Area includes: Arkansas, Louisiana, New Mexico, Oklahoma, Texas

4. Quality Assurance Field Offices

a. Boston Service Area

Quality Assurance Field Staff
Suite 1907
100 Summer Street
Boston, Massachusetts 02110

b. New York Service Area

Quality Assurance Field Staff
P.O. Box 7385
Corona-Elmhurst, New York 11373

c. Philadelphia Service Area

P.O. Box 12808
Philadelphia, Pennsylvania 19108

Quality Assurance Field Staff
P.O. Box 8788
Philadelphia, Pennsylvania 19101

Quality Assurance Field Staff
2000 Century Plaza, Suite 454
10632 Little Patuxent Parkway
Columbia, Maryland 21044

Quality Assurance Field Staff
Oxford Building, Suite 419
200 Mall Boulevard
Monroeville, Pennsylvania 15146

d. Birmingham Service Area

Quality Assurance Field Staff
P.O. Box 662
Birmingham, Alabama 35201

Quality Assurance Field Staff
Suite 104
1102 Kermit Drive
Nashville, Tennessee 37217

Quality Assurance Field Staff
P.O. Box 24268
Tampa, Florida 33622

Quality Assurance Field Staff
Suite 102
3901 Barrett Drive
Raleigh, North Carolina 27609

Quality Assurance Field Staff
Suite 214-D
1568 Willingham Drive
College Park, Georgia 30337

e. Chicago Service Area

Quality Assurance Field Staff
P.O. Box 7535
Chicago, Illinois 60680

Quality Assurance Field Staff
1084 McNamara Bldg.
477 Michigan Ave.
Detroit, Michigan 48226

Quality Assurance Field Staff
P.O. Box 44804
Indianapolis, Indiana 46244

Quality Assurance Field Staff
Federal Building
Room 658
316 Robert Street
St. Paul, Minnesota 55101

Dallas Service Area

Quality Assurance Field Staff AAA Building
3445 North Causeway Boulevard
Metairie, Louisiana 70002

Quality Assurance Field Staff
725 Dalworth
Grand Prairie, Texas 75050

Quality Assurance Field Staff
50 Penn Place Suite 1430
Oklahoma City, Oklahoma 73118

g. Kansas City Service Area

Quality Assurance Field Staff
P O Box 15568
Kansas City, Missouri 64106

h. San Francisco Service Area

Quality Assurance Field Staff
P O Box 42516
San Francisco, California 94101

Quality Assurance Field Staff
Hawthorne Building
15000 Aviation Boulevard
First Floor, Room 1-L-12
Lawndale, California 90261

Quality Assurance Field Staff
P O Box 2638
Salt Lake City, Utah 84110

Quality Assurance Field Staff
P.O Box 15235
Lakewood, Colorado 80215

Quality Assurance Field Staff
Treasury State Building
Room 310
2906 Second Avenue, North
Billings, Montana 59101

Quality Assurance Field Staff
FAA Building
Suite 807
1833 Kalakaua Avenue
Honolulu, Hawaii 96815

i. Quality Assurance Field Staff
4735 E. Marginal Way, South
Seattle, Washington 98134

5. Information exchanged between Social Security Administration and the States because of the State Supplementation and Medicaid provisions of the Supplemental Security Income program is maintained at the following State Departments of Public Welfare Agency addresses:

Alabama

Director
Medical Services Administration
2500 Fairlane Dr.
Executive Park
Montgomery, Alabama 36111

Alaska

Director
Dept. of Health and Social Service
Pouch H - 350 Main St.
Juneau, Alaska 99801

Arizona

Director
Arizona Dept. of Economic Security
P O Box 6123
Phoenix, Arizona 85005

Arkansas

Director
Capital Mall
Welfare-ESD Building
Little Rock, Arkansas 72203

California
Director
Dept. of Benefit Payments
Tape Library MS 10-77
744 P Street
Sacramento, California 95814

Colorado

Director
Department of Social Services
1575 Sherman Street, Room 301
Denver, Colorado 80203

Connecticut

Director
Connecticut State Welfare Dept. Systems and Information
Attno Control Section Chief
110 Bartholomew Ave.
Hartford, Connecticut 06115

Delaware

Director
Administrator Payments Section
Division of Business Adm. and General Services
State Hospital Adm. Bldg.
Third Floor Annex
New Castle, Delaware 19720

District of Columbia

Director
Dept. of Human Resources
Automatic Data Processing Div.
801 N. Capitol Street, N. E.
Room 627
Washington, D. C. 20001

Florida

Chief
HRS Data Center
P.O. Box 2016
Jacksonville, Florida 32203

Georgia

Director
Dept. of Human Resources
Director, Division of Benefit Payments
Room 630-H
47 Trinity Ave.
Atlanta, Georgia 30334

Hawaii

Director
Department of Social Services
P. O. Box 339
Honolulu, Hawaii 96809

Idaho

Director
Dept. of Environmental Community Services
Attn Data Processing
State House
Boise, Idaho 83720

Illinois

Director
Illinois Dept of Public Aid
P. O. Box 1330
Springfield, Illinois 62762

Indiana

Director of Administrative Services
Indiana Dept. of Public Welfare
State Office Building

100 North Senate Ave.
Indianapolis, Indiana 46204

Iowa

Director
Dept. of Social/Rehab Services
4th Floor
Lucas State Office Bldg.
Des Moines, Iowa 50319

Kansas

Director
Data Processing
Div Social Rehab Services
6th Floor Rm 622-S
State Office Bldg
Topeka, Kansas 66612

Kentucky

Data Processing Manager
Department for Human Resources
Bureau of Administrative Opera
Division of Management Systems
Capitol Annex
Room 148
Frankfort, Kentucky 40601
Attn: DP Tape Library S D X

Louisiana

Director
State of Louisiana
Div. of Income Maintenance
P O. Box 44065
Baton Rouge, Louisiana 70804

Maine

Director
Div. of Data Processing
Dept. of Health & Welfare
221 State Street
Augusta, Maine 04330

Maryland

Director
Dept. of Employ & Soc. Serv.
Div of Data Processing
1100 North Eutaw Street
Room 301
Baltimore, Maryland 21201

Massachusetts

Director
Executive Office of Human Services
Information Systems and Services
Computer Center
Room 801
1 Ashburton Place
Boston, Massachusetts 02108

Director
Mass. Comm. For The Blind
110 Tremont Street
Boston, Massachusetts 02108

Michigan

Director
Department of Social Services
I/O Control Unit
4th. Floor
Lewis Cass Bldg.
Lansing, Michigan 48926

Minnesota

Director
Department of Public Welfare
Systems Division
P.O. Box 17038
St. Paul, Minnesota 55117

Mississippi

OMC
State Department of Public Welfare
Fondren Station
Box 4321
Jackson, Mississippi 39216

Missouri

Director
Department of Social Services
Attno 10 Control Center
Broadway State Office Bldg.
Jefferson City, Missouri 65101

Montana

Director
Social and Rehabilitation Services
Office of Management and Budget
Box 1723
Helena, Montana 59601

Nebraska

Director
Data Processing
Department of Public Welfare
Fourth Floor
1526 K Street
Lincoln, Nebraska 68508

Nevada

Director
Nevada State Department of Welfare
251 Jeanell
Carson City, Nevada 89701

New Hampshire

Director
State of New Hampshire
Department of Health and Welfare
Division of Welfare - Claims Processing Unit
8 Loudon Road
Concord, New Hampshire 03301

New Jersey

Director
Blue Cross - Blue Shield
Systems Division Tech Services
2nd Floor
33 Washington Street
Newark, New Jersey 07102

New Mexico

Director
Public Assistance Agency
Box 2348 - Supplemental Security Coordinator
Santa Fe, New Mexico 87501

New York

Director
New York State - Department of Social Services
Income Maintenance Section
1450 Western Avenue
Albany, New York 12203

North Carolina

Director
North Carolina Department of Human Resources
Social Services Division
Data Processing Section
325 North Salisbury Street
Raleigh, North Carolina 27603

North Dakota

Social Services Board
Capitol Grounds
Capital Building, 16th Floor
Bismarck, North Dakota 58501

Ohio

Director
Ohio Department of Public Welfare
State Office Tower - 8th Floor
30 East Broad Street
Columbus, Ohio 43215
Attention: SDX Coordinator

Oklahoma

Director
Department of Institutions
Social and Rehabilitation Services
Management Information Division
P O Box 25352
Oklahoma City, Oklahoma 73125

Oregon

Director
Public Welfare Division
Public Service Building
Salem, Oregon 97310

Pennsylvania

Director, Bureau of Policy
Office of Income Maintenance
Health and Welfare Building
6th and Forster Streets - Room 103
Harrisburg, Pennsylvania 17120

Rhode Island

Director
Aime J Forand Building
600 New London Avenue
Cranston, Rhode Island 02920

South Carolina

Director
Data Processing Operations
South Carolina Department of Social Services
P O Box 1520
Columbia, South Carolina 29202

South Dakota

Director
State Department of Social Services
Division of Social Welfare
State Office Building No. 1
Pierre, South Dakota 57501

Tennessee

Director
Department of Public Welfare
C1 103 Central Service Building
Nashville, Tennessee 37219

Texas

Director
Department of Public Welfare
Data Processing Division
Tape Library
2800 South Interregional
Austin, Texas 78704

Utah

Director
Office of Administrative Services
EDP and Systems
231 East 4th South
Empire Building
Salt Lake City, Utah 84111

Vermont

AABD/ANFC Director
Department of Social Welfare
4 East State Street
Montpelier, Vermont 05602

Virginia

Director
Bureau of Data Systems
Data Proc. Oper. Section
Room 107 Ratcliffe Bldg.
1602 Rolling Hills Drive
Richmond, Virginia 23288

Washington

Director
Data Audit
Mailstop 16-2
P O Box 1788
Olympia, Washington 98504

West Virginia

Director
State of West Virginia Department of Welfare
State Office Building No. 6
1900 East Washington Street
Charleston, West Virginia 25305

Wisconsin

Director
Division of Family Services
1 West Wilson Street
Room 341
Madison, Wisconsin 53702

Wyoming

Director of Finance and Accounting
Department of Health and Social Services
State Office Building West
Chenenne, Wyoming 82002

Appendix E Federal Coal Mine Health and Safety Act Claims (Black Lung)

Black lung records are maintained by the Bureau of Disability Insurance, Baltimore, Maryland 21241. Office hours: 8.20am - 4:50pm.

Appendix F Social Security Administration Field Operations

1. Social Security District and Branch Offices

The addresses and telephone numbers of social security district and branch offices may be found listed in local telephone directories under Social Security Administration or under United States Government, Department of Health, Education, and Welfare, Social Security Administration.

Office Hours - varied.

2. Assistant Regional Commissioner (Field) Office Addresses

Boston Region--Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont

John F. Kennedy Federal Building
Government Center, Room 1109
Boston, Massachusetts 02203

Office Hours - 8:30 - 5:00

New York Region--New Jersey, New York, Puerto Rico, Virgin Islands

26 Federal Plaza, Room 737
New York, New York 10007

Office Hours - 8:30 - 5:00

Philadelphia Region--Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia

3535 Market Street
P O Box 8788
Philadelphia, Pennsylvania 19101

Office Hours - 8:00 - 4:30

Atlanta Region--Alabama, North Carolina, South Carolina, Florida, Georgia, Kentucky, Mississippi, Tennessee

50 Seventh Street, NE
Room 217
Atlanta, Georgia 30323

Office Hours - 8:00 - 4:30

Chicago Region--Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin

300 South Wacker Drive, Room 2719
Chicago, Illinois 60606

Dallas Region--Arkansas, Louisiana, New Mexico, Oklahoma, Texas

1200 Main Tower Bldg.
Suite 21st Floor
Dallas, Texas 75202

Office Hours - 8:00 - 4:30

Kansas City Region--Iowa, Kansas, Missouri, Nebraska

New Federal Office Building
601 East 12th Street
Kansas City, Missouri 64106

Office Hours 8:00 - 4:45

Denver Region--Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming

Federal Office Building
1961 Stout Street
Room 9017
Denver, Colorado 80294

Office Hours - 8:00 - 4:30

San Francisco Region--American Samoa, Arizona, California, Guam, Hawaii, Nevada

Federal Office Building
100 Van Ness Avenue, 26th Floor
San Francisco, California 94102

Office Hours - 8:00 - 4:30

Seattle Region--Alaska, Idaho, Oregon, Washington

Room 6027
1321 Second Avenue
Arcade Plaza Building MS 201
Seattle, Washington 98101

Office Hours - 8:00 - 4:30

3 Reconciliation and Analysis Units

These addresses service the regions set out in 2 above.

Room 1303
150 Causeway Street
Boston, Massachusetts 02114

Room 1014
199 Church Street
New York, New York 10007

P O Box 8269
3535 Market, Room 10460
Philadelphia, Pennsylvania 19101

P O Box 851
344 Goodwin Hamilton Bldg.
Homewood, Alabama 35209

300 S Wacker Drive
13th Floor, South
Chicago, Illinois 60606

6th Floor
14600 Detroit Avenue
Cleveland, Ohio 44107

P O Box 15648
601 East 12th Street, 10th Floor
Kansas City, Missouri 64106

Suite 420
Bruce Towers
2101 South Inter-Regional Highway
Austin, Texas 78741

Drawer 3618 7th Floor
1961 Stout St.
Denver, Colorado 80202

Second Floor
620 Folsom Street
San Francisco, California 94107

915 Second Avenue
Rm. 2344, Federal Office Bldg.
Seattle, Washington 98174

4. Teleservice Centers

Atlanta

P.O. Box 54327
Sixth Floor
730 Peachtree Street, NE
Atlanta, Georgia 30308

Berkeley

2000 Center Street

Room 420
Berkeley, California 94704

Boston

Rm. 1609
100 Summer St.
Boston, Massachusetts 02110

Chicago

4916 W Belmont
Chicago, Illinois 60643

Cleveland

11901 Berea Road
2nd Floor
Cleveland, Ohio 44111

Ft. Lauderdale

P.O. Box 8888
308 N.E. 3rd Avenue
Ft. Lauderdale, Florida 33310

Houston

2472 Bolsover
Houston, Texas 77005

Laurel

Stewart Village Shopping Center
Route 198
Laurel, Maryland 20810

Los Angeles

2309 Daly Street
Los Angeles, California 90031

New Orleans

31st Floor
Plaza Towers
1001 Howard Avenue
New Orleans, Louisiana 70113

Lodi
2nd Floor, Merchants Mall
01 South Main Street
Lodi, New Jersey 07644

Tampa

P.O. Box 22627
4810 North Howard Avenue
Tampa, Florida 33622

Upper Darby

6801 Ludlow Street
2nd Floor
Upper Darby, Pennsylvania 19082

Phoenix

3424 North Central Avenue
P.O. Box 7370
Phoenix, Arizona 85011

San Diego

P.O. Box 81387
Suite 215
4250 Pacific Highway
San Diego, California 92138

Appendix G Bureau of Hearings and Appeals

The Bureau of Hearings and Appeals is charged with the responsibility for making decisions on appeals taken above the reconsideration level by claimants for retirement, survivors, disability, supplemental security, medicare, or black lung benefits.

Files for cases awaiting action by the Appeals Council based on the claimants' request for Council review and records of hearings decisions by Administrative Law Judges are maintained at the Bureau headquarters. The address is:

Bureau of Hearings and Appeals
801 North Randolph Street
Arlington, Virginia 22203

Files for cases awaiting hearings or decisions by Administrative Law Judges based on requests for a hearing submitted by claimants are housed in various offices depending on the type of the benefit claimed and the status of the hearing request.

When hearings are requested in claims for supplemental security income benefits or the issue involves both supplemental secuirity income benefits and regular social security benefits, prior to forwarding the cases to the Administrative Law Judges, the cases are reviewed to assure that they are ready for the hearings at one of the following Development Centers:

In the Boston Region:

Bureau of Hearings and Apeals
Development Center
Room 1309
150 Causeway Street
Boston, Massachusetts 02114

In the New York Region:

Bureau of Hearings and APpeals
Development Center
15th Floor
250 Broadway
New York, New York 10007

In the Philadelphia Region:

Bureau of Hearings and Appeals
Development Center
P.O. Box 13825
Philadelphia, Pennsylvania 19101

In the Atlanta Region:

Bureau of Hearings and Appeals
Development Center
Room 625
50 Seventh Street, N.E.
Atlanta, Georgia 30323

In the Chicago Region:

Bureau of Hearings and Appeals
Development Center
16th floor
300 South Wacker Drive
Chicago, Illinois 60606

In the Dallas Region:

Bureau of Hearings and Appeals
Development Center
Suite 1420
Corrigan Tower Building
212 North St. Paul Street
Dallas, Texas 75201

In the Kansas City Region:

Bureau of Hearings and Appeals
Development Center
3rd Floor

1735 Baltimore Avenue
Kansas City, Missouri 64108

In the Denver Region:

Bureau of Hearings and Appeals
Development Center
4th Floor
Rio Grande Building
1531 Stout Street
Denver, Colorado 80202

In the San Francisco Region:

Bureau of Hearings and Appeals
Development Center
5th Floor
111 Ellis Street
San Francisco, California 94102

In the Seattle Region:

Bureau of Hearings and Appeals
Development Center
Room 1848
915 Second Avenue
Seattle, Washington 98174

When the Development Center has completed work on the cases, they are sent to the appropriate offices for the hearings by the Administrative Law Judges. Cases prepared for hearing by the Program Service Centers and the Division of International Operations (see Appendix A) or the Bureau of Disability Insurance (see Appendix B) are also sent to these offices. The selection of the office is based on the Region and the District Office Service Area in which the appellant claimant lives. The Regions, the addresses of the Administrative Law Judges and the District Office Service Areas from which the Judges accept cases are listed below. Correspondence should be addressed to the Bureau of Hearings and Appeals, Administrative Law Judge at the appropriate address.

In the BOSTON REGION

Room 1311
150 Causeway Street
Boston, Massachusetts 02114

For the following district offices

MASSACHUSETTS: Boston, Brockton Cambridge, Chelsea, Fitchburg, Framingham, Haverhill, Lawrence, Lowell, Lynn, Malden, Norwood, Quincy, Roxbury, Salem, Waltham, Worcester

Room 331
U.S. Post Office and Federal Building
135 High Street
Hartford, Connecticut 06101

For the following district offices

CONNECTICUT: Bridgeport, Hartford, Meriden, New Britain, New Haven, Stamford, Torrington, Waterbury

MASSACHUSETTS: Holyoke, Pittsfield, Springfield

25 Lowell Street
Manchester, New Hamsphire 03101

For the following district offices

MAINE: Augusta, Bangor, Lewiston, Portland, Presque Isle

NEW HAMPSHIRE: Concord, Littleton, Manchester, Nashua, Portsmouth

VERMONT: Burlington, Montpelier, Rutland

8th Floor, Howard Building
10 Dorrance Street
Providence, Rhode Island 02903

CONNECTICUT: New London, Willimantic

MASSACHUSETTS: Attleboro, Fall Fiver, New Bedford

RHODE ISLAND: Pawtucket, Providence

In the NEW YORK REGION

Federal Office Bldg., Room 942
One Clinton Square
Albany, New York 12207

NEW YORK: Albany, Glens Falls, Gloversville, Kingston, Newburgh, Plattsburgh, Poughkeepsie, Schenectady, Troy

Room 1201
175 Remsen Street
Brooklyn, New York 11201

NEW YORK: Brooklyn Avenue X, Boro Hall, Bushwick, East New York, Flatbush

Room 550
1 West Genesee Street
Buffalo, New York 14202

NEW YORK: Batavia, Buffalo, Jamestown, Kenmore, Niagara Falls, Olean, Rochester

Room 402, Ferry Building
1800 Davis Street, East
Camden, New Jersey 08104

NEW JERSEY: Atlantic City, Bridgeton, Camden

Room 700, Housing
Investment Building
416 Ponce de Leon Avenue
Hato Rey, Puerto Rico 00918

MAILING ADDRESS:

G.P.O. 6042
San Juan, Puerto Rico 00936

PUERTO RICO: Arecibo, Bayamon, Caguas, San Juan

VIRGIN ISLANDS: St. Thomas

Room 704, Title Guarantee Building
90-04 161st Street
Jamaica, New York 11432

NEW YORK: Flushing, Freeport, Jackson Heights: Downtown; Jamaica

Room 6A, Western Federal Building
19 West McKinley Street
Mayaguez, Puerto Rico 00708

MAILING ADDRESS:

G.P.O. Box V
Mayaguez, Puerto Rico 00708

PUERTO RICO: Mayaguez

Room 1230
24 Commerce Street
Newark, New Jersey 07102

NEW JERSEY: East Orange, Hackensack, Irvington, Jersey City, Montclair, Morristown, Newark, Passaic, Paterson

Room 3138, Federal Building
26 Federal Plaza
New York, New York 10007

NEW YORK Bronx: East Bronx, North Bronx, South Bronx; Manhattan Downtown, Midtown, Uptown, Washington Heights, Staten Island

Vendrell Building
Hostos Avenue, 11 Esq. R. Power
Ponce, Puerto Rico 00731

PUERTO RICO: Ponce

Room 200 Tinker National Bank Building
180 East Main Street
Smithtown, New York 11787

NEW YORK Huntington Station, Mineola, Patchogue

Room 212, Midtown Plaza Building
700 E Water Street
Syracuse, New York 13210

NEW YORK Auburn, Binghamton, Elmira, Geneva, Ogdensburg, Oneonta, Oswego, Syracuse, Utica, Watertown

Room 205 Carroll
428 E State Street
Trenton, New Jersey 08608

NEW JERSEY Asbury Park, Elizabeth, New Brunswick, Perth Amboy, Trenton

Room 105
237 Mamaroneck Avenue
White Plains, New York 10605

NEW YORK: New City, New Rochelle, White Plains, Yonkers

In the PHILADELPHIA REGION

Room 230, The Rotunda
711 West 40th Street
Baltimore, Maryland 21211

MARYLAND: Baltimore: Downtown, Glen Burnie, Towson

14 Piedmont Street
Bristol, Virginia 24201

TENNESSEE: Johnson City

VIRGINIA: Bristol

Room 1019, U.S. Courthouse and Federal Building
Charleston, West Virginia 25301

WEST VIRGINIA Beckley, Charleston, Logan, Parkersburg

Room 202, Citizens Commonwealth Center
300 Preston Avenue
Charlottesville, Virginia 22901

VIRGINIA: Charlottesville, Lynchburg, Staunton

1011 Sixth Avenue
Huntington, West Virginia 25701

KENTUCKY: Ashland, Pikeville

WEST VIRGINIA: Huntington

Lobby Suite One
1100 State St.
Erie, Pennsylvania 16501

PENNSYLVANIA: Meadville, Erie

Riverside Office Center
Bldg No 3--Suite H
2101 N Front St.
Harrisburg, Pennsylvania 17110

PENNSYLVANIA: Lancaster, York, Carlisle, Harrisburg, Lebanon

Room 309, Fox Square Pavilion
Old York Road at Wyncote
Jenkintown, Pennsylvania 19046

PENNSYLVANIA: Allentown, Bristol, Easton, Norristown; Philadelphia Northeast, Reading

Room 213, Federal Building
P O Box 1031
Johnstown, Pennsylvania 15901

PENNSYLVANIA: Altoona, Du Bois, Greensburg, Indiana, Johnstown

1528 Walnut Street
10th Floor
Philadelphia, Pennsylvania 19107

DELAWARE: Dover, Wilmington

PENNSYLVANIA: Chester, Harrisburg, Lancaster, Philadelphia: Downtown, Germantown, West, West Chester, York

Room 2219, Federal Building
1000 Liberty Avenue
Pittsburgh, Pennsylvania 15222

PENNSYLVANIA: Ambridge, Butler, Erie, McKeesport, New Castle, New Kensington, Oil City: Pittsburgh: Downtown, East, Sharon, Uniontown, Washington

WEST VIRGINIA: Clarksburg, Morgantown, Wheeling

Room 9225, Federal Building
400 North 8th Street
Richmond, Virginia 23240

VIRGINIA: Newport News, Norfolk, Petersburg, Richmond: Downtown

2601 Franklin Road, S.W.
(Side Entrance)
Roanoke, Virginia 24014

VIRGINIA: Covington, Danville, Roanoke

WEST VIRGINIA: Bluefield, Welch

Room 730
1325 G Street, N.W.
Washington, D.C. 20005

DISTRICT OF COLUMBIA: Washington: Downtown,

MARYLAND: Camp Springs, Cumberland, Frederick, Salisbury, Silver Spring

PENNSYLVANIA: Chambersburg

VIRGINA: Alexandria, Winchester

WEST VIRGINIA: FOREIGN CLAIMS except Philippine Islands

Room 3110 Penn Place
20 N Pennsylvania Ave.
Wikes-Barre, Pa. 18701

PENNSYLVANIA: Hazleton, Pottsville, Scranton, Sunbury, Wilkes-Barre, Williamsport

800 Delaware Ave., Room 511
Wilmington, Del. 19801

DELAWARE: Wilmington, Dover

In the ATLANTA REGION

Suite 514
25th Building
1720 Peachtree Street, N.W.
Atlanta, Georgia 30309

GEORGIA: Athens, Atlanta: Downtown, Augusta: Downtown, Decatur, East Point, Gainesville, La Grange, Marietta

Room 420, Shel-Al Building
11 West Oxmoor Road
Birmingham, Alabama 35209

ALABAMA: Anniston, Bessemer, Birmingham: Downtown, Gadsden, Tuscaloosa

285-C Meeting Street
Charleston, South Carolina 29401

GEORGIA: Savannah: Downtown

SOUTH CAROLINA:
Charleston

Suite 302
901 Elizabeth Avenue
Charlotte, North Carolina 28204

NORTH CAROLINA: Asheville; Charlotte: Downtown, Gastonia, Hickory, Salisbury, (Statesville)

SOUTH CAROLINA: Rock Hill

Suite 6300, 6300 Building
Eastgate Center
Chattanooga, Tennessee 37411

ALABAMA: Huntsville

GEORGIA: Rome

TENNESSEE: Chattanooga

Room 221, Middleburg Plaza
2712 Middleburg Drive
Columbia, South Carolina 29204

SOUTH CAROLINA: Columbia, Florence, Greenwood

Room 112, Shoals Office Building
412 South Court Street
Florence, Alabama 35630

ALABAMA: Decatur, Florence

MISSISSIPPI: Columbus, Tupelo

1200 West Bessemer Square Building
1215 West Bessemer Avenue
Greensboro, North Carolina 27408

NORTH CAROLINA: Greensboro, High Point, Winston-Salem

Suite 116, The 300 Building
University Ridge
Greenville, South Carolina 29601

SOUTH CAROLINA: Anderson, Greenville, Spartanburg

301 Humble Avenue
Hattiesburg, Mississippi 39401

MISSISSIPPI: Hattiesburg

Executive Building
802 North State Street
Jackson, Mississippi 39201

MISSISSIPPI: Greenville, Greenwood, Jackson, Meridian, Vicksburg

Room 2809, Art Museum Drive
Jacksonville, Florida 32207

FLORIDA: Gainesville, Jacksonville: Downtown, Tallahassee

GEORGIA: Thomasville, Valdosta, Waycross

East Gate Plaza
1420B East Stone Drive
Kingsport, Tennessee 37664

TENNESSEE: Johnson City

VIRGINIA: Bristol

Suite 300, Appalachian National Life Building
318 Cumberland Avenue, S.W.
Knoxville, Tennessee 37902

TENNESSEE: Knoxville

Room 206, The Bakhaus Building
1500 West Main Street
Lexington, Kentucky 40505

KENTUCKY: Corbin, Frankfort, Hazard, Lexington

Room 600, Bank of Louisville Building
510 West Broadway
Louisville, Kentucky 40202

INDIANA: New Albany

KENTUCKY: Campbellsville, Elizabethtown; Louisville: Downtown

Room 813, Southern Trust Building
682 Cherry Street
Macon, Georgia 31201

GEORGIA: Albany, Columbus, Macon

407 Dermon Building
46 North 3rd Street
Memphis, Tennessee 38103

TENNESSEE: Dyersburg, Jackson, Memphis: Downtown

12th Floor, Roberts Building
28 West Flagler Street
Miami, Florida 33130

FLORIDA: Fort Lauderdale: Downtown, Hollywood, Miami: Downtown, North, Miami Beach, West Palm Beach

Room 407, Commerce Building
118 North Royal Street
Mobile, Alabama 36602

ALABAMA: Mobile: Downtown

FLORIDA: Panama City, Pensacola

MISSISSIPPI: Gulfport

Room 109, McDonough Building
770 South McDonough Street
Montgomery, Alabama 36104

ALABAMA: Dothan, Montgomery, Selma

Room 816
1717 West End Avenue
Nashville, Tennessee 37203

TENNESSEE: Columbia, Cookeville, Nashville: Downtown

Room 206, Ambassador Building
5800 Diplomat Circle
Orlando, Flordia 32810

FLORIDA: Daytona Beach, Melbourne, Orlando

Building 1301 Broadway
Paducah, Kentucky 42001

ILLINOIS:

KENTUCKY: Bowling Green, Hopkinsville, Owensboro, Paducah

3824 Barrett Drive, Room 200
Raleigh, North Carolina 27609

NORTH CAROLINA: Durham, Fayettesville, Goldsboro, Greenville, New Bern, Raleigh, Rocky Mount, Wilmington

707 Barnett Bank Building
1000 North Ashley Drive
Tampa, Florida 33602

FLORIDA: Clearwater, Fort Myers, Lakeland, St. Petersburg, Sarasota, Tampa: Downtown

In the CHICAGO REGION

Room 1430, Mid-Continental Plaza
55 East Monroe Street
Chicago, Illinois 60603

ILLINOIS: Aurora, Champaign; Chicago: Loop, Near Northwest, Near Southwest, South, West; Danville, Elgin, Elmwood Park, Harvey, Joliet, Kankakee, North Riverside

Room 406
2376 East 71st Street
Chicago, Illinois 60649

ILLINOIS: Chicago: East, Southeast

INDIANA: Gary, Hammond, Michigan City

MICHIGAN: Benton Harbor

Room 6409, Federal Office Building
550 Main Street
Cincinnati, Ohio 45202

KENTUCKY: Covington

OHIO: Cincinnati: Downtown, North; Dayton: Downtown, Hamilton, Portsmouth

1919 Superior Building
815 Superior Street, N.E.
Cleveland, Ohio 44114

OHIO: Akron: Downtown, Ashtabula, Canton; Cleveland: Downtown, Heights, West, East Liverpool, Lorain, Mansfield, New Philadelphia, Sandusky, Steubenville; Toledo: Downtown; Warren, Youngstown

Room 1006, LeVeque Lincoln Tower
50 West Broad Street
Columbus, Ohio 43215

OHIO: Chillicothe; Columbus: Downtown; Findlay, Lima, Marietta, Marion, Newark, Piqua, Springfield, Zanesville

Room 2600, Broderick Tower
Woodward Avenue at Grand Circus Park
Detroit, Michigan 48226

MICHIGAN: Ann Arbor, Dearborn; Detroit: Downtown, East, Southwest

Suite 490, State National Bank Building
1603 Orrington Avenue
Evanston, Illinois 60201

ILLINOIS: Chicago: North, Northwest; Evanston, Rockford, Sterling, Waukegan

Room 503, Court Bldg.
123 N.W. Fourth St.
Evansville, Indiana 47708

ILLINOIS: Carbondale, Harrisburg, Mount Vernon

INDIANA: Evansville, Vincennes

KENTUCKY

Room 810 Metropolitan Building 432 N. Saginaw St.
Flint, Michigan 48502

MICHIGAN: Bay City, Flint, Port Huron, Saginaw

Room 400, Commerce Building
127 West Berry Street
Fort Wayne, Indiana 46802

INDIANA: Elkhart, Fort Wayne, Marion, Muncie, South Bend

OHIO: Defiance

New Federal Bldg., 2nd Fl.
Indianapolis, Indiana 46204

INDIANA: Anderson, Bloomington, Columbus, Indianapolis: Downtown; Kokomo, Lafayette, Madison, Richmond, Terre Haute

Room 900, Washington Square Building
109 West Michigan Avenue
Lansing, Michigan 48933

MICHIGAN: Battle Creek, Grand Rapids, Jackson, Kalamazoo, Lansing, Mount Pleasant, Muskegon, Traverse City

The Continental Bldg.
Room 800
735 West Wisconsin Avenue
Milwaukee, Wisconsin 53133

WISCONSIN: Eau Claire, Fond de Lac, Janesville, Kenosha, La Crosse, Madison, Milwaukee: North, South; Oshkosh, Racine, Sheboygan, Waukesha, Wisconsin Rapids, Appleton, Green Bay

MICHIGAN: Escanaba, Marquette

830 Plymouth Building
12 South 6th Street
Minneapolis, Minnesota 55402

MINNESOTA: Austin, Bemidji, Duluth, Hibbing, Mankato, Marshall; Minneapolis: Downtown; Rochester, St. Cloud, St. Paul, Winona

WISCONSIN: Superior

Room 206, Leisy Building
326 S.W. Adams Street
Peoria, Illinois 61602

ILLINOIS: Bloomington, Decatur, Galesburg, Peoria, Peru, Springfield

North Park Plaza
17117 West Nine Mile Road
Southfield, Michigan 48075

MICHIGAN: Detroit: Highland Park, Northwest; Pontiac, Roseville

In the DALLAS REGION

Room 309, Patio Plaza
500 Marble Avenue, N.E.
Albuquerque, New Mexico 87110

NEW MEXICO: Albuquerque, Farmington, Roswell, Santa Fe

TEXAS: El Paso

3744 Government Street
Alexandria, Louisiana 71301

LOUISIANA: Alexandria, Lafayette, Lake Charles, Monroe, Baton Rouge: Downtown

8th Floor
1512 Commerce Street
Dallas, Texas 75201

OKLAHOMA

TEXAS: Dallas: Downtown; Lufkin

Room 270, Central Mall
5111 Rogers Avenue
Fort Smith, Arkansas 72901

ARKANSAS: Fayetteville, Fort Smith

Room 9A35, Federal Office Building
819 Taylor Street
Fort Worth, Texas 76102

TEXAS: Abilene, Fort Worth, Odessa, San Angelo, Temple, Waco

Suite 252, Royal Gardens Bldg.
108 30 North Central Expressway
Dallas, Texas 75231

TEXAS: Rawlins, West Dallas, Longview, Paris, Greenville, Tyler, Sherman

Room 209, Bellfort Square Building
6711 Bellfort Boulevard
Houston, Texas 77017

TEXAS Beaumont, Bryan, Galveston; Houston: Downtown, Pasadena, Port Arthur

Suite 103, Tanglewood Professional Building
7509 Cantrell Road
Little Rock, Arkansas 72207

ARKANSAS El Dorado, Forrest City, Hot Springs National Park, Jonesboro, Little Rock, Pine Bluff

104 East Carl Albert Pkwy.
McAlester, Oklahoma 74501

OKLAHOMA: McAlester, Muskogee

2nd Floor, Oil and Gas Building
1100 Tulane Avenue
New Orleans, Louisiana 70112

LOUISIANA: Houma, New Orleans: Downtown

Suite 416, 50 Penn Place
Northwest 50th and Pennsylvania
Oklahoma City, Oklahoma 73118

OKLAHOMA Ardmore, Enid, Lawton, Oklahoma City

TEXAS: Amarillo, Lubbock, Wichita Falls

Room 222, Castle Hills Executive Plaza
1015 Jackson Keller Road
San Antonio, Texas 78213

TEXAS Austin, Brownsville, Corpus Christi, Laredo, McAllen, San Antonio: Downtown, Victoria

3rd Floor, Columbia Building
2651 East 21st Street
Tulsa, Oklahoma 74114

OKLAHOMA: Tulsa

In the KANSAS CITY REGION

Room 621, Federal Building
210 Walnut Street
Des Moines, Iowa 50309

ILLINOIS: Rock Island

IOWA: Burlington, Cedar Rapids, Creston, Davenport, Des Moines, Dubuque, Fort Dodge, Mason City, Ottumwa, Waterloo

Room 2
8764 Manchester Road
Brentwood, MO 63144

Missouri: Cape Giradeau, Clayton, St. Louis, Southside

Room 1201, Federal Office Building
911 Walnut Street
Kansas City, Missouri 64106

KANSAS: Kansas City, Topeka

MISSOURI: Independence, Jefferson City, Joplin; Kansas City: Moberly, St. Joseph, Sedalia, Springfield

980 South 72nd Street
Omaha, Nebraska 68114

IOWA: Sioux City

NEBRASKA: Grand Island, Lincoln, Norfolk, North Platte, Omaha

Room 1427
210 North 12th Street
St. Louis, Missouri 63101

ILLINOIS: Alton; East St. Louis: Downtown, Quincy

MISSOURI: Hannibal, Poplar Bluff, St. Louis: Downtown, South Side;

102 Woodlawn Building
400 North Woodlawn
Wichita, Kansas 67208

KANSAS: Dodge City, Hays, Hutchinson, Independence, Pittsburgh, Salina, Wichita

In the DENVER REGION

Suite 502, Prudential Tower
1050 17th Street
Denver, Colorado 80202

COLORADO: Alamosa, Colorado Springs; Denver: Downtown; Grand Junction, Greeley, Pueblo

MONTANA: Billings, Butte, Great Falls, Helena, Missoula

NEBRASKA: Scottsbluff

SOUTH DAKOTA: Rapid City

WYOMING: Casper, Cheyenne

Room 200, White Building
23 Broadway
Fargo, North Dakota 58102

MINNESOTA

NORTH DAKOTA: Bismarck, Fargo, Grand Forks, Minot

SOUTH DAKOTA: Aberdeen, Huron, Sioux Falls

Room 302, Denver Building
352 Denver Street
Salt Lake City, Utah 84111

IDAHO: Boise, Pocatello, Twin Falls

UTAH: Ogden, Provo, Salt Lake City

WYOMING: Rock Springs

In the SAN FRANCISCO REGION

Room 313, Rowell Building
2100 Tulare Street
Fresno, California 93721

CALIFORNIA: Bakersfield: Downtown, Fresno: Downtown, Visalia

Room 505, Bishop Trust Building
1000 Bishop Street
Honolulu, Hawaii 96813

AMERICAN SAMOA

HAWAII: Honolulu

Room 210
115 Pine Avenue
Long Beach, California 90802

CALIFORNIA: Huntington Park, Long Beach, Los Angeles: Watts Torrance, Whittier

Room 13201
11000 Wilshire Boulevard
Los Angeles, California 90024
(West)

CALIFORNIA: Canoga Park, Inglewood, Lancaster: Los Angeles: Downtown, Monterey Park, Santa Barbara, Santa Monica, Van Nuys, Ventura

Room 930, United California Bank Building
1330 Broadway
Oakland, California 94612

CALIFORNIA: Berkeley: Downtown, Hayward, Oakland: Downtown, Walnut Creek

Suite 212, Mutual Savings Building
301 East Colorado Boulevard
Pasadena, California 91101

CALIFORNIA: Glendale; Hollywood: Downtown; Pasadena

Suite 308, Mayer Central Building
3033 North Central Avenue
Phoenix, Arizona 85012

ARIZONA: Phoenix: Downtown, Prescott

NEVADA: Las Vegas

Room E 1807
2800 Cottage Way
Sacramento, California 95825

CALIFORNIA: Chico, Modesto, Redding, Sacramento, Stockton

NEVADA: Reno

Suite 308, Blackstone Building
362 North Arrowhead Avenue
San Bernardino, California 92401

CALIFORNIA: Palm Springs, Pomona, Riverside, San Bernardino

Suite 207
770 B Street
San Diego, California 92101

ARIZONA

CALIFORNIA: San Diego: Downtown

Suite 320
550 Kearney Street
San Francisco, California 94108

CALIFORNIA: San Francisco: Civic Center, Parkside; San Mateo

PHILIPPINE ISLANDS

Room 404, Community Bank Building
111 West St. John Street
San Jose, California 95113

CALIFORNIA: Salinas; San Jose: Downtown; San Luis Obispo, Santa Cruz

Room 204, The Citizens Building
950 Northgate Drive
San Rafael, California 94903

CALIFORNIA: Eureka, San Rafael, Santa Rosa, Vallejo

Room 3-B, Federal Building
301 West Congress Street
Tucson, Arizona 85701

ARIZONA: Tucson: Downtown

Room 902, Federal Bldg.
34 Civic Center Plaza
Santa Ana, Calif. 92701
CALIFORNIA Anaheim, Costa Mesa, Fullerton, Huntington Beach, Norwalk, San Juan Capistrano, Santa Ana

In the SEATTLE REGION

Federal Bldg. & Courthouse Room 430
211 E. Seventh Ave.
Eugene, Oregon 97401

OREGON: Eugene, Klamath Falls, Medford

Room 1020, Corbett Building
430 S.W. Morrison Street
Portland, Oregon 97204

OREGON: Portland: Downtown, East, Salem

WASHINGTON: Vancouver

Room 3162-Federal Bldg.
915 Second Avenue
Seattle, Washington 98174

ALASKA: Anchorage, Juneau

WASHINGTON: Bellevue, Bellingham, Bremerton, Everett, Olympia, Seattle: Downtown; Tacoma, Yakima

830 Bon Marche Building
214 North Wall Street
Spokane, Washington 99201

IDAHO: Lewiston

OREGON: La Grande

WASHINGTON: Spokane, Walla Walla, Wenatchee

The Administrative Law Judges are independent adjudicators. However, they do need certain administrative and logistical support. This support is provided by the Regional Chief Administrative Law Judges, Bureau of Hearings and Appeals whose offices are at the following addresses:

In the BOSTON REGION

E-310 John F. Kennedy Federal Building
Boston, Massachusetts 02203

In the NEW YORK REGION

Room 4000
26 Federal Plaza
New York, New York 10007

In the PHILADELPHIA REGION

Room 8110, The Gateway Building
36th and Market Streets
Philadelphia, Pennsylvania 19101

MALING ADDRESS:

P.O. Box 8788
Philadelphia, Pennsylvania 19101

In the ATLANTA REGION

Room 641
50 Seventh Street, N.E.
Atlanta, Georgia 30323

In the CHICAGO REGION

8th Floor
300 S. Wacker
Chicago, Illinois 60606

In the DALLAS REGION

Suite 1400, Corrigan Tower Bldg.
212 North St. Paul Street
Dallas, Texas 75201

In the KANSAS CITY REGION

Room 2502, Federal Office Building
911 Walnut Street
Kansas City, Missouri 64106

In the DENVER REGION

Room 5439, Federal Office Building
1961 Stout Street
Denver, Colorado 80202

In the SAN FRANCISCO REGION

21st Floor
100 100 Van Ness Avenue
San Francisco, California 94102

In the SEATTLE REGION

Mail Stop 3100
Arcade Plaza Building
1321 Second Avenue
Seattle, Washington 98101

APPENDIX H Bureau of Data Processing Electronic Data Centers

Bureau of Data Processing
Veterans Administration Building
19 N. Main St.,
Wilkes Barre, Pa. 18701

Bureau of Data Processing
Albuquerque Data Operations Ctr.
933 Bradbury, S.E.
Albuquerque, N.M. 87112

Bureau of Data Processing
Salinas Data Operation Ctr.
6th Floor No. 8 E. Alisal
Salinas, Calif. 93901

APPENDIX I Availability of Records, Manuals, Etc.

All administrative staff manuals of the Social Security Administration and instruction to staff personnel which contain policies, procedures, or interpretations that affect the public are available for inspection and copying. These manuals are generally not printed in a sufficient quantity to permit sale or other general distribution to the public, but many are maintained at district offices and field offices and may be inspected there (See Appendix F). A complete listing of staff manuals and instructions is published in Social Security Rulings which is available from the Government Printing Office, Washington, D.C. 20402.

The Social Security Act is codified at 42 U.S.C. 301 and the Federal Coal Mine Health and Safety Act may be found at 30 U.S.C. 901.

The Regulations relating to Federal retirement, survivors, and disability insurance and health insurance for the aged, are published in the Code of Federal Regulations under title 20, chapter III, Part 401 et seq.:

A. Part 401 contains Regulation No. 1, Disclosure of Official Records and Information.
B. Part 402, which contained Regulations No. 2, has not been published in the Code beginning with the 1949 edition since Regulations No. 2 applies only to the Social Security Act in effect before 1940.
C. Part 403, which contained Regulations No. 3, has not been published in the Code beginning with the 1965 edition since Regulations No. 3 relates to the period from 1940 to 1950. The extent to which Regulations No. 3 remains in effect is indicated in Sections 404.3(a) of Regulations No. 4.
D. Part 404 contains Regulations No. 4, Federal Old-Age, Survivors, and Disability Insurance (1950-).
E. Part 405 contains Regulations No. 5, Federal Health Insurance for the Aged and Disabled (1965-).
F. Part 410 contains Regulations No. 10, Federal Coal Mine Health and Safety Act of 1969, title IV, Black Lung Benefits (1969-).
G. Part 416 contains Regulations No. 16, Supplemental Security Income (1973-).
H. Part 422 contains Regulations No. 22, Organization and Procedures.

Title 20 of the Code of Federal Regulations (Part 400 to End, revised as of April 1, 1973), can be purchased from the Superintendent of Documents, Government Printing Office, Washington, D.C. 20402.

Requests for accessing an individual's own records should be directed to the systems managers listed in the foregoing notices. Requests for other records and manuals may be made to: (1) the Director, Office of Information, Social Security Administration, 6401 Security Boulevard, Baltimore, Maryland 21235, or (2) the Information Center Officer, at the Regional Offices of the Department of Health, Education, and Welfare. The locations and service areas of these offices are as follows:

BOSTON REGION--Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont

John F. Kennedy Federal Building
Room 1100A
Boston, Massachusetts 02203

Office Hours: 8:30-5:00

NEW YORK REGION--New York, New Jersey, Puerto Rico, Virgin Islands

Federal Building
Room 745
26 Federal Plaza
New York, New York 10007

Office Hours: 8:30-5:00

PHILADELPHIA REGION--Delaware, Maryland, Pennsylvania, Virginia, West Virginia, District of Columbia

P.O. Box 8788
Philadelphia, Pennsylvania 19101

Office Hours: 8:00-4:30

ATLANTA REGION--Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee

50 Seventh Street, NE
Room 240
Atlanta, Georgia 30323

Office Hours: 8:00-4:30

CHICAGO REGION--Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin

300 South Wacker Drive,
Room 2719
Chicago, Illinois 60606

Office Hours: 8:15-4:45

DALLAS REGION--Arkansas, Louisiana, New Mexico, Oklahoma, Texas

Room 2535 1200 Commerce Street
Dallas, Texas 75202

Office Hours: 8:15-4:45

KANSAS CITY REGION--Iowa, Kansas, Missouri, Nebraska

Federal Building, Room 431-A,
601 East 12th Street,
Kansas City, Missouri 64106

Office Hours: 8:00-4:45

DENVER REGION--Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming

Federal Office Building
Room 8005
1961 Stout Street,
Denver Colorado 80202

Office Hours: 8:00-4:30

SAN FRANCISCO REGION--Arizona, California, Hawaii, Nevada, Guam, Trust Territory of Pacific Islands, American Samoa

100 Van Ness Avenue
26th Floor
San Francisco, California 94102

Office Hours: 8:00-4:30

SEATTLE REGION--Alaska, Idaho, Oregon, Washington

Arcade Plaza Building, MS-614
1321 Second Avenue, Room 6027
Seattle, Washington 98101

Office Hours: 8:00-4:30

APPENDIX J Social Security Administration Data Security Measures

The confidentiality of records has been a cornerstone of Social Security Administration policy from the very beginning of the agency under the mandate of Title 20, Chapter III, Part 401 of the Code of Federal Regulations issued in 1937 and Section 1106 of the Social Security Act Passed by the Congress in 1939. Data security measures begin with the thorough training of employees in the restrictions against disclosure contained in the Act and the Regulations, the criminal sanctions for unauthorized disclosure, and the procedures used to assure that disclosures authorized by statute and regulation are released to the proper parties. The physical security measures established to safeguard records are discussed below:

1. Manually Maintained Records

Manually maintained records are kept in locked file cabinets or in otherwise secure areas. Access to the records is limited to those employees who require the information contained in the records to perform the duties assigned to them. In most cases, the records are selected for the employees needing access to them by other employees who are specifically charged with the maintenance of the records. This restricts the number of persons authorized to be in the storage areas and facilitates the control over the access to the information contained in the records to those who need it. Those records not handled in this manner are securely stored so that unauthorized individuals may not gain access to them.

2. Automated Records

Entry into the computer rooms in the headquarters complex located in Woodlawn, Mayland is restricted to those employees whose duties require such entry. A special pass containing the employee's photograph is issued to all personnel authorized to enter this area. Marshals are stationed at each entrance to assure that only possessors of the special passes are admitted. Magnetic tape records and records stored on other automated devices are kept in a library to which entry is further restricted by a lock whose opening combination is known only to a select few authorized to enter this area. Access to the information contained in these records is controlled by various manual and automated devices. Only employees who require the information to perform their duties may obtain it.

Some automated records are maintained in program service centers located across the country (See Appendix A). Entrance to the program service center buildings is restricted to employees with building passes. In addition, special passes identify those employees whose duties require entry into the computer rooms. Access to the information contained in these records is also controlled. Only employees who require the information to perform their duties may obtain it.

Data is transmitted from field offices and program service centers to headquarters and return. For the most part, sensitive and urgent traffic is sent over lines leased by the Social Security Administration for its sole use. The remaining traffic sent directly by wire is sent via lines leased by the Federal Government for use of all Federal agencies. Sometimes the length of the record precluudes direct wire transmission and magnetic tape stored on reels must be used. When this occurs, special procedures assure the delivery of the tape reels to the proper location.

Internal computer security is safeguarded by access codes, edit checks, data reformatting and return address codes. These assure that only authorized access to the computer system is permitted, that the particular data requested from the system can be released to the requester, and that control is maintained over the locations to which systems data may be sent.

APPENDIX K

An individual must present sufficient evidence to establish identity in order to obtain information pertaining to him from the Social Security Administration s records.

Requests for disclosure of information may be made in the following ways:

1. In Person--No special documents of identity are required if a request for disclosure of information is made in person. It is expected that documents an individual would normally carry on his person would be sufficient. the following would be acceptable although this list is not intended to be all-inclusive: credit cards, driver's license, motor vehicle registration card, building pass, voter registration cards, and selective service registration certificate. A social security number card is acceptable only when presented with other evidence.

2. Via Mail--An individual requesting disclosure of information from the Social Security Administration's records via mail must provide his name, date of birth, and address in order to establish his identity, plus any additional information required (in the system notice) to access his record within a specific system.

3. Via Telephone--An individual requesting disclosure of information via telephone must furnish the same information as listed in 2 above.

09-60-0208

System name: Program Integrity Management Information and Control System HEW SSA OPO.

Security classification: None.

System location:

Bureau of Data Processing
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: All individuals suspected of criminal violations involving the supplemental security income (SSI) program

Categories of records in the system: Information about the supplemental security income recipient, supplemental security income suspect, program integrity case development and information about the violation aspects of the case.

Authority for maintenance of the system: Sections 1631 (D)(2) and 1632 of Title XVI of the Social Security Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tape.

Retrievability: In sequence by the social security number, or in alphabetical order by name of recipient and/or suspect. Information in this system is routinely used by Social Security Administration staff (1) to monitor the progress of development of individual suspected fraud cases to insure timely resolution; and (2) for statistical analysis purposes to identify (a) types of cases which occur with such frequency as to suggest the need for revision of policies and procedures relative to establishing eligibility for payments and (b) trends and averages with respect to the processing time of such cases and their disposition under the Federal judicial system. All information identifiable with a specific individual is protected from disclosure by statute (section 1106 of the Social Security Act (42 United States Code 1306).

Safeguards: All magnetic tapes are retained in secure storage areas accessible only to authorized persons within the Bureau of Data Processing. The storage area is controlled by marshalls responsible for insuring that only authorized personnel are permitted. Official identification badges or passes are required to gain entrance to the storage area. All employees having access to records have been notified of criminal sanctions for unauthorized disclosure of information on individuals.

Retention and disposal: Indefinite retention. A procedure is available to select and delete any case that is deemed irrelevant.

System manager(s) and address:

Director
Bureau of Supplemental Security Income
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: A request may be forward to the Director, Bureau of Supplemental Security Income, 6401 Security Boulevard, Baltimore, Maryland 21235. The social security number and/or name of recipient is needed as identifying information. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.)

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Inforamtion is provided by supplemental security income applicants, informants, Social Security Administration offices and other Federal State, or municipal agencies, by letter, telephone or in person.

Systems exempted from certain provisions of the act: None. /*

Appendix B of Departmental Regulation (45 CFR Part 5b)

ROUTINE USES APPLICABLE TO MORE THAN ONE SYSTEM OF RECORDS MAINTAINED BY HEW.

(1) In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, or foreign, charged with the responsiblity of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

(2) Referrals may be made of assignments of research investigators and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange, Inc.

(3) In the event the Department deems it desirable or necessary, in determining whether particular records are required to be disclosed under the Freedom of Information Act, disclosure may be made to the Department of Justice for the purpose of obtaining its advice.

(4) A record from this system of records may be disclosed as a 'routine use' to a federal, state or local agency maintaining civil, criminal or other relevant enforcement records or other pertinent records, such as current licenses, if necessary to obtain a record relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

A record from this system of records may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the record is relevant and necessary to the requesting agency's decision on the matter.

(5) In the event that a system of records maintained by this agency to carry out its function indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether state or local charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

(6) Where federal agencies having the power to subpoena other federal agencies records, such as the Internal Revenue Service or the Civil Rights Commission, issue a subpoena to the Department for records in this system of records, the Department will make such records available.

(7) Where a contract between a component of the Department and a labor organization recognized under E.O. 11491 provides that the agency will disclose personal records relevant to the organization's mission, records in this system of records may be disclosed to such organization.

(8) Where the appropriate official of the Department, pursuant to the Department's Freedom of Information Regulation determines that it is in the public interest to disclose a record which is otherwise exempt from mandatory disclosure, disclosure may be made from this system of records.

(9) The Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

(10)-(99) (reserved)

(100) To the Department of Justice or other appropriate Federal agencies in defending claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual.

(101) To individuals and organizations, deemed qualified by the Secretary to carry out specific research solely for the purpose of carrying out such research.

(102) To organizations deemed qualified by the Secretary to carry out quality assessment, medcial audits or utilization review.

(103) Disclosures in the course of employee discipline or competence determination proceedings.

[FR Doc.77-28835 Filed 9-27-77;2:55 am]

Title 45—Public Welfare

SUBTITLE A—DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE, GENERAL ADMINISTRATION

PART 5b—PRIVACY ACT REGULATION

Sec.
5b.1 Definitions.
5b.2 Purpose and Scope.
5b.3 Policy.
5b.4 Maintenance of records.
5b.5 Notification of or access to records.
5b.6 Special procedures for notification of or access to medical records.
5b.7 Procedures for correction and amendment of records.
5b.8 Appeals of refusals to correct or amend records.
5b.9 Disclosure of records.
5b.10 Parents and Guardians.
5b.11 Exempt systems.
5b.12 Contractors.
5b.13 Fees.
Appendix A Employee standards of conduct.
Appendix B Routine uses for multiple systems of records.
Appendix C Delegations of authority.

AUTHORITY (5 U.S.C. 301, 5 U.S.C. 552a)

§ 5b.1 Definitions.

As used in this Part:

(a) "Access" means availability of a record to a subject individual.

(b) "Agency" means the Department of Health, Education, and Welfare.

(c) "Department" means the Department of Health, Education, and Welfare.

(d) " Disclosure" means the availability or release of a record to anyone other than the subject individual.

(e) "Individual" means a living person who is a citizen of the United States or an alien lawfully admitted for permanent residence. It does not include persons such as sole proprietorships, partnerships, or corporations. A business firm which is identified by the name of one or more persons is not an individual within the meaning of this Part.

(f) "Maintain" means to maintain, collect, use, or disseminate when used in connection with the term "record"; and, to have control over or responsibility for a system of records when used in connection with the term "system of records."

(g) "Notification" means communication to an individual whether he is a subject individual.

(h) "Record" means any item, collection, or grouping of information about an individual that is maintained by the Department, including but not limited to the individual's education, financial transactions, medical history, and criminal or employment history and that contains his name, or an identifying number, symbol, or other identifying particular assigned to the individual, such as a finger or voice print or a photograph. When used in this Part, record means only a record which is in a system of records.

(i) "Responsible Department official" means that officer who is listed in a notice of a system of records as the system manager for a given system of records or another individual listed in the notice of a system of records to whom requests may be made, or the designee of either such officer or individual.

(j) "Routine use" means the disclosure of a record outside the Department, without the consent of the subject individual, for a purpose which is compatible with the purpose for which the record was collected. It includes disclosures required to be made by statute other than the Freedom of Information Act, 5 U.S.C. 552. It does not include disclosures which are permitted to be made without the consent of the subject individual which are not compatible with the purpose for which it was collected such as disclosures to the Bureau of the Census, the General Accounting Office, or to Congress.

(k) "Secretary" means the Secretary of Health, Education, and Welfare, or his designee.

(l) "Statistical record" means a record maintained for statistical research or reporting purposes only and not maintained to make determinations about a particular subject individual.

(m) "Subject individual" means that individual to whom a record pertains.

(n) "System of records" means any group of records under the control of the Department from which a record is retrieved by personal identifier such as the name of the individual, number, symbol or other unique retriever assigned to the individual. Single records or groups of records which are not retrieved by a personal identifier are not part of a system of records. Papers maintained by individual employees of the Department which are prepared, maintained, or discarded at the discretion of the employee and which are not subject to the Federal Records Act, 44 U.S.C. 2901, are not part of a system of records; *provided*, that such personal papers are not used by the employee or the Department to determine any rights, benefits, or privileges of individuals.

§ 5b.2 Purpose and scope.

(a) This Part implements section 3 of the Privacy Act of 1974, 5 U.S.C. 552a (hereinafter referred to as the Act), by establishing agency policies and procedures for the maintenance of records. This Part also establishes agency policies and procedures under which a subject individual may be given notification of or access to a record pertaining to him and policies and procedures under which a subject individual may have his record corrected or amended if he believes that his record is not accurate, timely, complete, or relevant or necessary to accomplish a Department function.

(b) All components of the Department are governed by the provisions of this Part. Also governed by the provisions of this Part are:

(1) Certain non-federal entities which operate as agents of the Department for purposes of carrying out Federal functions, such as intermediaries and carriers performing functions under contracts and agreements entered into pursuant to sections 1816 and 1842 of the Social Security Act, 42 U.S.C. 1395h and 1395u.

(2) Advisory committees and councils within the meaning of the Federal Advisory Committee Act which provide advice to (i) any official or component of the Department or (ii) the President and for which the Department has been delegated responsibility for providing services.

(c) Employees of the Department governed by this Part include all regular and special government employees of the Department, members of the Public Health Service Commissioned Corps; experts and consultants whose temporary (not in excess of 1 year) or intermittent services have been procured by the Department by contract pursuant to 3109 of title 5, United States Code; volunteers where acceptance of their services are authorized by law; those individuals performing gratuitous services as permitted under conditions prescribed by the Civil Service Commission, and, participants in work-study or training programs.

(d) Where other statutes mandate procedures which are inconsistent with the procedures set forth in this Part, components of the Department may issue supplementary regulations containing procedures necessary to comply with such statutes. In addition, components of the Department

may supplement by regulation the policies and procedures set forth in this Part to meet particular needs of the programs administered by such components.

(e) This Part does not:

(1) Make available to a subject individual records which are not retrieved by that individual's name or other personal identifier

(2) Make available to the general public records which are retrieved by a subject individual's name or other personal identifier or make available to the general public records which would otherwise not be available to the general public under the Freedom of Information Act, 5 U.S.C. 552, and Part 5 of this title.

(3) Govern the maintenance or disclosure of, notification of or access to, records in the possession of the Department which are subject to regulations of another agency, such as personnel records subject to the regulations of the Civil Service Commission.

(4) Apply to grantees, including State and local governments or subdivisions thereof, administering federally funded programs.

(5) Make available records compiled by the Department in reasonable anticipation of court litigation or formal administrative proceedings. The availability of such records to the general public or to any subject individual or party to such litigation or proceedings shall be governed by applicable constitutional principles, rules of discovery, and applicable regulations of the Department and any of its components.

§ 5b.3 Policy.

It is the policy of the Department to protect the privacy of individuals to the fullest extent possible while nonetheless permitting the exchange of records required to fulfill the administrative and program responsibilities of the Department, and responsibilities of the Department for disclosing records which the general public is entitled to have under the Freedom of Information Act, 5 U.S.C. 552, and Part 5 of this title.

§ 5b.4 Maintenance of records.

(a) No record will be maintained by the Department unless:

(1) it is relevant and necessary to accomplish a Department function required to be accomplished by statute or Executive Order;

(2) it is acquired to the greatest extent practicable from the subject individual when maintenance of the record may result in a determination about the subject individual's rights, benefits or privileges under Federal programs;

(3) the individual providing the record is informed of the authority for providing the record (including whether the providing of the record is mandatory or voluntary, the principal purpose for maintaining the record, the routine uses for the record, what effect his refusal to provide the record may have on him), and if the record is not required by statute or Executive Order to be provided by the individual, he agrees to provide the record.

(b) No record will be maintained by the Department which describes how an individual exercises rights guaranteed by the First Amendment unless expressly authorized (1) by statute, or (2) by the subject individual, or (3) unless pertinent to and within the scope of an authorized law enforcement activity.

§ 5b.5 Notification of or access to records.

(a) *Times, places, and manner of requesting notification of or access to a record.*

(1) Subject to the provisions governing medical records in § 5b.6 of this part, any individual may request notification of a record. He may at the same time request access to any record pertaining to him. An individual may be accompanied by another individual of his choice when he requests access to a record in person: *Provided*, That he affirmatively authorizes the presence of such other individual during any discussion of a record to which access is requested.

(2) An individual making a request for notification of or access to a record shall address his request to the responsible Department official and shall verify his identity when required in accordance with paragraph (b)(2) of this section. At the time the request is made, the individual shall specify which systems of records he wishes to have searched and the records to which he wishes to have access. He may also request that copies be made of all or any such records. An individual shall also provide the responsible Department official with sufficient particulars to enable such official to distinguish between records on subject individuals with the same name. The necessary particulars are set forth in the notices of systems of records.

(3) An individual who makes a request in person may leave with any responsible Department official a request for notification of or access to a record under the control of another responsible Department official: *Provided*, That the request is addressed in writing to the appropriate responsible Department official.

(b) *Verification of identity*—(1) *When required.* Unless an individual, who is making a request for notification of or access to a record in person, is personally known to the responsible Department official, he shall be required to verify his identity in accordance with paragraph (b)(2) of this section if:

(i) he makes a request for notification of a record and the responsible Department official determines that the mere disclosure of the existence of the record would be a clearly unwarranted invasion of privacy if disclosed to someone other than the subject individual; or,

(ii) he makes a request for access to a record which is not required to be disclosed to the general public under the Freedom of Information Act, 5 U.S.C. 552, and Part 5 of this title.

(2) *Manner of verifying identity.*

(i) An individual who makes a request in person shall provide to the responsible Department official at least one piece of tangible identification such as a driver's license, passport, alien or voter registration card, or union card to verify his identity. If an individual does not have identification papers to verify his identity, he shall certify in writing that he is the individual who 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 under the Act subject to a $5,000 fine.

(ii) Except as provided in paragraph (b)(2)(v) of this section, an individual who does not make a request in person shall submit a notarized request to the responsible Department official to verify his identity or shall certify in his request that he is the individual who 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 under the Act subject to a $5,000 fine.

(iii) An individual who makes a request on behalf of a minor or legal incompetent as authorized under § 5b.10 of this Part shall verify his relationship to the minor or legal incompetent, in addition to verifying his own identity, by providing a copy of the minor's birth certificate, a court order, or other competent evidence of guardianship to the responsible Department official; *except that*, an individual is not required to verify his relationship to the minor or legal incompetent when he is not required to verify his own identity or when evidence of his relationship to the minor or legal incompetent has been previously given to the responsible Department official.

(iv) An individual shall further verify his identity if he is requesting notification of or access to sensitive records such as medical records. Any further verification shall parallel the record to which notification or access is being sought. Such further verification may include such particulars 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.

(v) An individual who makes a request by telephone shall verify his identity by providing to the responsible Department official identifying particulars which parallel the record to which notification or access is being sought. If the responsible Department official determines that the particulars provided by telephone are insufficient, the requester will be required to submit the request in writing or in person. Telephone requests will not be accepted where an individual is requesting notification of or access to sensitive records such as medical records.

(c) *Granting notification of or access to a record.*

(1) Subject to the provisions governing medical records in § 5b.6 of this part and the provisions governing exempt systems in § 5b.11 of this part, a responsible Department official, who receives a request for notification of or access to a record and, if required, verification of an individual's identity, will review the request and grant notification or access to a record, if the individual requesting access to the record is the subject individual.

(2) If the responsible Department official determines that there will be a delay in responding to a request because of the number of requests being processed, a breakdown of equipment, shortage of personnel, storage of records in other locations, etc., he will so inform the individual and indicate when notification or access will be granted.

(3) Prior to granting notification of or access to a record, the responsible Department official may at his discretion require an individual making a request in person to reduce his request to writing if the individual has not already done so at the time the request is made.

§ 5b.6 Special procedures for notification of or access to medical records.

(a) *General.* An individual in general has a right to notification of or access to his medical records, including psychological records, as well as to other records pertaining to him maintained by the Department. This section sets forth special procedures as permitted by the Act for notification of or access to medical records, including a special procedure for notification of or access to medical records of minors. The special procedures set forth in paragraph (b) of this section may not be suitable for use by every component of the Department. Therefore, components may follow the paragraph (b) procedure for notification of or access to medical records, or may issue regulations establishing special procedures for such purposes. The special procedure set forth in paragraph (c) of this section relating to medical records of minors is mandatory.

(b) *Medical records procedures*—(1) *Notification of or access to medical records.*

(i) Any individual may request notification of or access to a medical record pertaining to him. Unless the individual is a parent or guardian requesting notification of or access to a minor's medical record, an individual shall make a request for a medical record in accordance with this section and the procedures in § 5b.5 of this Part.

(ii) An individual who requests notification of or access to a medical record shall, at the time the request is made, designate a representative in writing. The representative may be a physician, other health professional, or other responsible individual, who would be willing to review the record and inform the subject individual of its contents at the representative's discretion.

(2) *Utilization of the designated representative.* A subject individual will be granted direct access to a medical record if the responsible official determines that direct access is not likely to have an adverse effect on the subject individual. If the responsible Department official believes that he is not qualified to determine, or if he does determine, that direct access to the subject individual is likely to have an adverse effect on the subject individual, the record will be sent to the designated representative. The subject individual will be informed in writing that the record has been sent.

(c) *Medical records of minors.*—(1) *Requests by minors; notification of or access to medical records to minors.* A minor may request notification of or access to a medical record pertaining to him in accordance with paragraph (b) of this section.

(2) *Requests on a minor's behalf; notification of or access to medical records to an individual on a minor's behalf.*

(i) In order to protect the privacy of a minor, a parent or guardian, authorized to act on a minor's behalf as provided in § 5b.10 of this part, who makes a request for notification of or access to a minor's medical record will not be given direct notification of or access to such record.

(ii) A parent or guardian shall make all requests for notification of or access to a minor's medical record in accordance with this paragraph and the procedures in § 5b.5 of this part. A parent or guardian shall at the time he makes a request designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent.

(iii) Where a medical record on the minor exists, it will be sent to the physician or health professional designated by the parent or guardian in all cases. If disclosure of the record would constitute an invasion of the minor's privacy, that fact will be brought to the attention of the physician or health professional to whom the record is sent. The physician or health professional will be asked to consider the effect that disclosure of the record to the parent of guardian would have on the minor in determining whether the minor's medical record should be made available to the parent or guardian. Response to the parent or guardian making the request will be made in substantially the following form.

We have completed processing your request for notification of or access to

_____ 's

Name of minor

medical records. Please be informed that if any medical records were found pertaining to that individual, they have not been sent to your designated physician or health professional.

In each case where a minor's medical records is sent to a physician or health professional, reasonable efforts will be made to so inform the minor.

§ 5b.7 Procedures for correction or amendment of records.

(a) Any subject individual may request that his record be corrected or amended if he believes that the record is not accurate, timely, complete, or relevant or necessary to accomplish a Department function. A subject individual making a request to amend or correct his record shall address his request to the responsible Department official in writing; *except that*, the request need not be in writing if the subject individual makes his request in person and the responsible Department official corrects or amends the record at that time. The subject individual shall specify in each request:

(1) The system of records from which the record is retrieved;

(2) The particular record which he is seeking to correct or amend;

(3) Whether he is seeking an addition to or a deletion or substitution of the record; and,

(4) His reasons for requesting correction or amendment of the record.

(b) A request for correction or amendment of a record will be acknowledged within 10 working days of its receipt unless the request can be processed and the subject individual informed of the responsible Department official's decision on the request within that 10 day period.

(c) If the responsible Department official agrees that the record is not accurate, timely, or complete based on a preponderance of the evidence, the record will be corrected or amended. The record will be deleted without regard to its accuracy, if the record is not relevant or necessary to accom-

plish the Department function for which the record was provided or is maintained. In either case, the subject individual will be informed in writing of the correction, amendment, or deletion and, if accounting was made of prior disclosures of the record, all previous recipients of the record will be informed of the corrective action taken.

(d) If the responsible Department official does not agree that the record should be corrected or amended, the subject individual will be informed in writing of the refusal to correct or amend the record. He will also be informed that he may appeal the refusal to correct or amend his record to the appropriate appeal authority listed in § 5b.8 of this Part. The appropriate appeal authority will be identified to the subject individual by name, title, and business address.

(e) Requests to correct or amend a record governed by the regulation of another government agency, *e.g.*, Civil Service Commission, Federal Bureau of Investigation, will be forwarded to such government agency for processing and the subject individual will be informed in writing of the referral.

§ 5b.8 Appeals of refusals to correct or amend records.

(a) *Processing the appeal.* (1) A subject individual who disagrees with a refusal to correct or amend his record may appeal the refusal in writing. All appeals shall be made to the following appeal authorities, or their designees, or successors in function:

(i) Assistant Secretary for Administration and Management for records of the Office of the Secretary, or where the initial refusal to correct or amend was made by another appeal authority. The appeal authority for an initial refusal by the Assistant Secretary for Administration and Management is the Under Secretary.

(ii) Assistant Secretary for Health for records of the Public Health Service including Office of Assistant Secretary for Health; Health Resources Administration; Health Services Administration; Alcohol, Drug Abuse, and Mental Health Administration; Center for Disease Control; National Institutes of Health; and Food and Drug Administration.

(iii) Assistant Secretary for Education for records of the Office of the Assistant Secretary for Education, National Center for Education Statistics, National Institute of Education, and Office of Education.

(iv) Assistant Secretary for Human Development for records of the Office of Human Development.

(v) Commissioner of Social Security for records of the Social Security Administration.

(vi) Administrator, Social and Rehabilitation Service for the records of the Social and Rehabilitation Service.

(2) An appeal will be completed within 30 working days from its receipt by the appeal authority; *except that*, the appeal authority may for good cause extend this period for an additional 30 days. Should the appeal period be extended, the subject individual appealing the refusal to correct or amend the record will be informed in writing of the extension and the circumstances of the delay. The subject individual's request to amend or correct the record, the responsible Department official's refusal to correct or amend, and any other pertinent material relating to the appeal will be reviewed. No hearing will be held.

(3) If the appeal authority agrees that the record subject to the appeal should be corrected or amended, the record will be amended and the subject individual will be informed in writing of the correction or amendment. Where an accounting was made of prior disclosures of the record, all previous recipients of the record will be informed of the corrective action taken.

(4) If the appeal is denied, the subject individual will be informed in writing:

(i) of the denial and the reasons for the denial;

(ii) that he has a right to seek judicial review of the denial; and,

(iii) that he may submit to the responsible Department official a concise statement of disagreement to be associated with the disputed record and disclosed whenever the record is disclosed.

(b) *Notation and disclosure of disputed records.* Whenever a subject individual submits a statement of disagreement to the responsible Department official in accordance with paragraph (a)(4)(iii) of this section, the record will be noted to indicate that it is disputed. In any subsequent disclosure, a copy of the subject individual's statement of disagreement, will be disclosed with the record. If the responsible Department official deems it appropriate, a concise statement of the appeal authority's reasons for denying the subject individual's appeal may also be disclosed with the record. While the subject individual will have access to this statement of reasons, such statement will not be subject to correction or amendment. Where an accounting was made of prior disclosures of the record, all previous recipients of the record will be provided a copy of the subject individual's statement of disagreement, as well as the statement, if any, of the appeal authority's reasons for denying the subject individual's appeal.

§ 5b.9 Disclosure of records.

(a) *Consent to disclosure by a subject individual.*

(1) Except as provided in paragraph (b) of this section authorizing disclosures of records without consent, no disclosure of a record will be made without the consent of the subject individual. In each case the consent, whether obtained from the subject individual at the request of the Department or whether provided to the Department by the subject individual on his own initiative, shall be in writing. The consent 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, where applicable, during which time frame the record may be disclosed (*e.g.*, during the school year, while the subject individual is out of the country, whenever the subject individual is receiving specific services). A blanket consent to disclose all of a subject individual's records to unspecified individuals or organizational units will not be honored. The subject individual's identity and, where applicable (*e.g.*, where a subject individual gives consent to disclosure of a record to a specific individual), the identity of the individual to whom the record is to be disclosed shall be verified.

(2) A parent or guardian of any minor is not authorized to give consent to a disclosure of the minor's medical record.

(b) *Disclosures without the consent of the subject individual.*

The disclosures listed in this paragraph may be made without the consent of the subject individual. Such disclosures are:

(1) To those officers and employees of the Department who have a need for the record in the performance of their duties. The responsible Department official may upon request of any officer or employee, or on his own initiative, determine what constitutes legitimate need.

(2) Required to be disclosed under the Freedom of Information Act, 5 U.S.C. 552, and Part 5 of this title.

(3) For a routine use as defined in paragraph (j) of § 5b.1 of this Part. Routine uses will be listed in any notice of a system of records. Routine uses published in Appendix B are applicable to more than one system of records. Where applicable, notices of systems of records may contain references to the routine uses listed in Appendix B. Appendix B will be published with any compendium of notices of systems of records.

(4) To the Bureau of the Census for purposes of planning or carrying out a census or survey or related activity pursuant to the provisions of title 13 U.S.C.

(5) To a recipient who has provided the agency with advance written assurance that the record will be used solely as a statistical research or reporting record; *Provided*, That, the record is transferred in a form that

does not identify the subject individual.

(6) To the National Archives of the United States as a record which has sufficient historical or other value to warrant its continued preservation by the United States Government, or for evaluation by the Administrator of General Services or his designee to determine whether the record has such value.

(7) To another government agency or to an instrumentality of any governmental jurisdiction within or under the control of the United States for a civil or criminal law enforcement activity if the activity is authorized by law, and if the head of such government agency or instrumentality has submitted a written request to the Department specifying the record desired and the law enforcement activity for which the record is sought.

(8) To an individual pursuant to a showing of compelling circumstances affecting the health or safety of any individual if a notice of the disclosure is transmitted to the last known address of the subject individual.

(9) To either House of Congress, or to the extent of matter within its jurisdiction, any committee or subcommittee thereof, any joint committee of Congress or subcommittee of any such joint committee.

(10) To the Comptroller General, or any of his authorized representatives, in the course of the performance of the duties of the General Accounting Office.

(11) Pursuant to the order of a court of competent jurisdiction.

(c) *Accounting of disclosures.* (1) An accounting of all disclosures of a record will be made and maintained by the Department for 5 years or for the life of the record, whichever is longer; *except that*, such an accounting will not be made:

(i) for disclosures under paragraph (b) (1) and (2) of this section; and,

(ii) for disclosures made with the written consent of the subject individual.

(2) The accounting will include:

(i) the date, nature, and purpose of each disclosure; and

(ii) the name and address of the person or entity to whom the disclosure is made.

(3) Any subject individual may request access to an accounting of disclosures of a record. The subject individual shall make a request for access to an accounting in accordance with the procedures in § 5b.5 of this part. A subject individual will be granted access to an accounting of the disclosures of a record in accordance with the procedures of this part which govern access to the related record. Access to an accounting of a disclosure of a record made under paragraph (b)(7) of this section may be granted at the discretion of the responsible Department official.

§ 5b.10 Parents and guardians.

For the purpose of this part, a parent or guardian of any minor or the legal guardian or any individual who has been declared incompetent due to physical or mental incapacity or age by a court of competent jurisdiction is authorized to act on behalf of an individual or a subject individual. Except as provided in paragraph (b)(2) of § 5b.5, of this Part governing procedures for verifying an individual's identity, and paragraph (c)(2) of § 5b.6 of this part governing special procedures for notification of or access to a minor's medical records, an individual authorized to act on behalf of a minor or legal incompetent will be viewed as if he were the individual or subject individual.

§ 5b.11 Exempt systems.

(a) *General policy.* The Act permits certain types of specific systems of records to be exempt from some of its requirements. It is the policy of the Department to exercise authority to exempt systems of records only in compelling cases.

(b) *Specific systems of records exempted.* (1) Those systems of records listed in paragraph (b)(2) of this section are exempt from the following provisions of the Act and this Part:

(i) 5 U.S.C. 552a(c)(3) and paragraph (c)(2) of § 5b.9 of this part which require a subject individual to be granted access to an accounting of disclosures of a record.

(ii) 5 U.S.C. 552a(d) (1) through (4) and (f) and §§ 5b.6, 5b.7, and 5b.8 of this part relating to notification of or access to records and correction or amendment of records.

(iii) 5 U.S.C. 552a(e)(4) (G) and (H) which require inclusion of information about Department procedures for notification, access, and correction or amendment of records in the notice for the systems of records.

(iv) 5 U.S.C. 552(e)(3) and paragraph (a)(3) of § 5b.4 of this Part which require that an individual asked to provide a record to the Department be informed of the authority for providing the record (including whether the providing of the record is mandatory or voluntary, the principal purposes for maintaining the record, the routine uses for the record, and what effect his refusal to provide the record may have on him), and if the record is not required by statute or Executive Order to be provided by the individual, he agrees to provide the record. This exemption applies only to an investigatory record compiled by the Department for ciminal law enforcement purposes in a system of records exempt under subsection (j)(2) of the Act to the extent that these requirements would prejudice the conduct of the investigation.

(2) The following systems of records are exempt from those provisions of the Act and this part listed in paragraph (b)(1) of this section.

(i) Pursuant to subsection (j)(2) of the Act:

(A) the Saint Elizabeths Hospital's Court-Ordered Forensic Investigatory Materials Files; and

(B) the Investigatory Material Compiled for Law Enforcement Purposes System, HEW

(ii) Pursuant to subsection (k)(2) of the Act:

(A) the General Criminal Investigation Files, HEW/SSA;

(B) the Criminal Investigations File, HEW/SSA, and

(C) the Program Integrity Case Files, HEW/SSA.

(iii) Pursuant to subsection (k)(4) of the Act:

(A) the Health and Demographic Survey's Conduct in Random Samples of the U.S. Population;

(B) the Health Manpower Inventories and Surveys;

(C) the Vital Statistics for Births, Deaths, Fetal Deaths, Marriages and Divorces Occurring in the U.S. during Each Year; and,

(D) the Maryland Psychiatric Case Register.

(iv) Pursuant to subsection (k)(5) of the Act:

(A) the Investigatory Material Compiled for Security and Suitability Purposes System, HEW; and,

(B) the Suitability for Employment Records, HEW

(v) Pursuant to subsections (j)(2), (k)(2), and (k)(5) of the Act:

(A) the Clinical Investigatory Records, HEW/FDA;

(B) the Regulated Industry Employee Enforcement Records, HEW/FDA;

(C) the Employee Conduct Investigative Records, HEW/FDA, and

(D) The Service Contractor Employee Investigative Records, HEW/FDA.

(c) *Notification of or access to records in exempt systems of records.*

(1) Where a system of records is exempt as provided in paragraph (b) of this section, any individual may nonetheless request notification of or access to a record in that system. An individual shall make requests for notification of or access to a record in an exempt system of records in accordance with the procedures of §§ 5b.5 and 5b.6 of this part.

(2) An individual will be granted notification of or access to a record in an exempt system but only to the extent such notification or access would not reveal the identity of a source who furnished the record to the Department under an express promise, and prior to September 27, 1975 an implied promise, that his identity would be held in confidence, if:

(i) The record is in a system of records which is exempt under subsection (k)(2) of the Act and the individual has been, as a result of the maintenance of the record, denied a right, privilege, or benefit to which he would otherwise be eligible; or,

(ii) The record is in a system of records which is exempt under subsection (k)(5) of the Act.

(3) If an individual is not granted notification of or access to a record in a system of records exempt under subsections (k) (2) and (5) of the Act in accordance with this paragraph, he will be informed that the identity of a confidential source would be revealed if notification of or access to the record were granted to him.

(d) *Discretionary actions by the responsible Department official.* Unless disclosure of a record to the general public is otherwise prohibited by law, the responsible Department official may in his discretion grant notification of or access to a record in a system of records which is exempt under paragraph (b) of this section. Discretionary notification of or access to a record in accordance with this paragraph will not be a precedent for discretionary notification of or access to a similar or related record and will not obligate the responsible Department official to exercise his discretion to grant notification of or access to any other record in a system of records which is exempt under paragraph (b) of this section.

§ 5b.12 Contractors.

(a) All contracts entered into on or after September 27, 1975 which require a contractor to maintain or on behalf of the Department to maintain, a system of records to accomplish a Department function must contain a provision requiring the contractor to comply with the Act and this part.

(b) All unexpired contracts entered into prior to September 27, 1975 which require the contractor to maintain or on behalf of the Department to maintain, a system of records to accomplish a Department function will be amended as soon as practicable to include a provision requiring the contractor to comply with the Act and this Part. All such contracts must be so amended by July 1, 1976 unless for good cause the appeal authority identified in § 5b.8 of this part authorizes the continuation of the contract without amendment beyond that date.

(c) A contractor and any employee of such contractor shall be considered employees of the Department only for the purposes of the criminal penalties of the Act, 5 U.S.C. 552a(i), and the employee standards of conduct listed in Appendix A of this part where the contract contains a provision requiring the contractor to comply with the Act and this part.

(d) This section does not apply to systems of records maintained by a contractor as a result of his management discretion, *e.g.*, the contractor's personnel records.

§ 5b.13 Fees.

(a) *Policy.* Where applicable, fees for copying records will be charged in accordance with the schedule set forth in this section. Fees may only be charged where an individual requests that a copy be made of the record to which he is granted access. No fee may be charged for making a search of the system of records whether the search is manual, mechanical, or electronic. Where a copy of the record must be made in order to provide access to the record (*e.g.*, computer printout where no screen reading is available), the copy will be made available to the individual without cost. Where a medical record is made available to a representative designated by the individual or to a physician or health professional designated by a parent or guardian under § 5b.6 of this Part, no fee will be charged.

(b) *Fee schedule.* The fee schedule for the Department is as follows:

(1) Copying of records susceptible to photocopying—$.10 per page.

(2) Copying 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 does not exceed $25.

APPENDIX A

EMPLOYEE STANDARDS OF CONDUCT

(a) *General.* All employees are required to be aware of their responsibilities under the Privacy Act of 1974, 5 U.S.C. 552a. Regulations implementing the Act are set forth in 45 CFR 5b. Instruction on the requirements of the Act and regulation shall be provided to all new employees of the Department. In addition, supervisors shall be responsible for assuring that employees who are working with systems of records or who undertake new duties which require the use of systems of records are informed of their responsibilities. Supervisors shall also be responsible for assuring that all employees who work with such systems of records are periodically reminded of the requirements of the Act and are advised of any new provisions or interpretations of the Act.

(b) *Penalties.* (1) All employees must guard against improper disclosure of records which are governed by the Act. Because of the serious consequences of improper invasions of personal privacy employees may be subject to disciplinary action and criminal prosecution for knowing and willful violations of the Act and regulation. In addition, employees may also be subject to disciplinary action for unknowing or unwillful violations, where the employee had notice of the provisions of the Act and regulations and failed to inform himself sufficiently or to conduct himself in accordance with the requirements to avoid violations.

(2) The Department may be subjected to civil liability for the following actions undertaken by its employees:

(a) Making a determination under the Act and section 5b.7 and 5b.8 of the regulation not to amend an individual's record in accordance with his request, or failing to make such review in conformity of those provisions;

(b) Refusing to comply with an individual's request for notification of or access to a record pertaining to him;

(c) Failing to maintain any record pertaining to any individual with such accuracy, relevance timeliness, and completeness as is necessary to assure fairness in any determination relating to the qualifications, character, rights, or opportunities of, or benefits to the individual that may be made on the basis of such a record, and consequently a determination is made which is adverse to the individual; or

(d) Failing to comply with any other provision of the Act or any rule promulgated thereunder, in such a way as to have an adverse effect on an individual.

(3) "An employee may be personally subject to criminal liability as set forth below and in 5 U.S.C. 552a(i):

(a) Any officer or employee of an agency, who by virtue of his employment or official position, has possession of, or access to, agency records which contain individually identifiable information the disclosure of which is prohibited by the Act or by rules or regulations established thereunder, and who, knowing that disclosure of the specific material is so prohibited, willfully discloses the material in any manner to any person or agency not entitled to receive it, shall be guilty of a misdemeanor and fined not more than $5,000."

(b) "Any officer or employee of any agency who willfully maintains a system of records without meeting the notice requirements [of the Act] shall be guilty of a misdemeanor and fined not more than $5,000."

(c) *Rules Governing Employees Not Working With Systems of Records.* Employees whose duties do not involve working with systems of records will not generally disclose to any one, without specific authorization from their supervisors, records pertaining to employees or other individuals which by reason of their official duties are available to them. Notwithstanding the above, the following records concerning Federal employees are a matter of public record and no further authorization is necessary for disclosure:

(1) Name and title of individual.

(2) Grade classification or equivalent and annual rate of salary.

(3) Position description.

(4) Location of duty station, including room number and telephone number.

In addition, employees shall disclose records which are listed in the Department's Freedom of Information Regulation as being available to the public. Requests for other records will be referred to the responsible Department official. This does not preclude employees from discussing matters which are known to them personally, and without resort to a record, to official investigators of Federal agencies for official purposes such as suitability checks, Equal Employment Opportunity investigations, adverse action proceedings, grievance proceedings, etc.

(d) *Rules governing employees whose duties require use or reference to systems of records.* Employees whose official duties require that they refer to, maintain, service, or otherwise deal with systems of records (hereinafter referred to as "Systems Em-

ployees") are governed by the general provisions. In addition, extra precautions are required and systems employees are held to higher standards of conduct.

(1) Systems Employees shall:

(a) Be informed with respect to their responsibilities under the Act;

(b) Be alert to possible misuses of the system and report to their supervisors any potential or actual use of the system which they believe is not in compliance with the act and regulation;

(c) Make a disclosure of records within the Department only to an employee who has a legitimate need to know the record in the course of his official duties;

(d) Maintain records as accurately as practicable.

(e) Consult with a supervisor prior to taking any action where they are in doubt whether such action is in conformance with the Act and regulation.

(2) Systems Employees shall not:

(a) Disclose in any form records from a system of records except (1) with the consent or at the request of the subject individual; or (2) where its disclosure is permitted under § 5b.9 of the regulation.

(b) Permit unauthorized individuals to be present in controlled areas. Any unauthorized individuals observed in controlled areas shall be reported to a supervisor or to the guard force.

(c) Knowingly or willfully take action which might subject the Department to civil liability.

(d) Make any arrangements for the design development, or operation of any system of records without making reasonable effort to provide that the system can be maintained in accordance with the Act and regulation.

(e) *Contracting officers.* In addition to any applicable provisions set forth above, those employees whose official duties involve entering into contracts on behalf of the Department shall also be governed by the following provisions:

(1) *Contracts for design, or development of systems and equipment.* No contract for the design or development of a system of records, or for equipment to store, service or maintain a system of records shall be entered into unless the contracting officer has made reasonable effort to ensure that the product to be purchased is capable of being used without violation of the Act or regulation. Special attention shall be given to provision of physical safeguards.

(2) *Contracts for the operation of systems and equipment.* No contract for the design or development of a system of whom he feels appropriate, of all proposed contracts providing for the operation of systems of records shall be made prior to execution of the contracts to determine whether operation of the system of records is for the purpose of accomplishing a Department function. If a determination is made that the operation of the system is to accomplish a Department function, the contracting officer shall be responsible for including in the contract appropriate provisions to apply the provisions of the Act and regulation to the system, including prohibitions against improper release by the contractor, his employees, agents, or subcontractors.

(3) *Other service contracts.* Contracting officers entering into general service contracts shall be responsible for determining the appropriateness of including provisions in the contract to prevent potential misuse (inadvertent or otherwise) by employees, agents, or subcontractors of the contractor.

(f) *Rules Governing Responsible Department Officials.* In addition to the requirements for Systems Employees, responsible Department officials shall:

(1) respond to all requests for notification of or access, disclosure, or amendment of records in a timely fashion in accordance with the Act and regulation;

(2) make any amendment of records accurately and in a timely fashion;

(3) inform all persons whom the accounting records show have received copies of the record prior to the amendments of the correction; and

(4) associate any statement of disagreement with the dispute record, and

(a) transmit a copy of the statement to all persons whom the accounting records show have received a copy of the disputed record, and

(b) transmit that statement with any future disclosure.

Appendix B

ROUTINE USES APPLICABLE TO MORE THAN ONE SYSTEM OF RECORDS MAINTAINED BY HEW

(1) In the event that a system of records maintained by this agency or carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute, or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

(2) Referrals may be made of assignments of research investigators and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange, Inc.

(3) In the event the Department deems it desirable or necessary, in determining whether particular records are required to be disclosed under the Freedom of Information Act, disclosure may be made of the Department of Justice for the purpose of obtaining its advice.

(4) A record from this system of records may be disclosed as a "routine use" to a federal, state or local agency maintaining civil, criminal or other relevant enforcement records or other pertinent records, such as current licenses, if necessary to obtain a record relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license grant or other benefit.

A record from this system of records may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the record is relevant and necessary to the requesting agency's decision on the matter.

(5) In the event that a system of records maintained by this agency to carry out its function indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether state or local charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

(6) Where federal agencies having the power to subpoena other federal agencies' records, such as the Internal Revenue Service or the Civil Rights Commission, issue a subpoena to the Department for records in this system of records, the Department will make such records available.

(7) Where a contract between a component of the Department and a labor organization recognized under E.O. 11491 provides that the agency will disclose personal records relevant to the organization's mission, records in this system of records may be disclosed to such organization.

(8) Where the appropriate official of the Department, pursuant to the Department's Freedom of Information Regulation determines that it is in the public interest to disclose a record which is otherwise exempt from mandatory disclosure, disclosure may be made from this system of records.

(9) The Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

(10)-(99) [Reserved]

(100) To the Department of Justice or other appropriate Federal agencies in defending claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual.

(101) To individuals and organizations, deemed qualified by the Secretary to carry out specific research solely for the purpose of carrying out such research.

(102) To organizations deemed qualified by the Secretary to carry out quality assessment, medical audits or utilization review.

(103) Disclosures in the course of employee discipline or competence determination proceedings.

Appendix C

DELEGATIONS OF AUTHORITY [RESERVED]

TITLE 21—FOOD AND DRUGS

Chapter 1—Food and Drug Administration, Department of Health, Education, and Welfare

PART 21—PROTECTION OF PRIVACY

Subpart A—General Provisions

Sec.
21.1 Scope.
21.3 Definitions.
21.10 Policy concerning records about individuals.

Subpart B—Food and Drug Administration Privacy Act Record Systems

Sec.
21.20 Procedures for notice of Food and Drug Administration Privacy Act Record Systems.
21.21 Changes in systems and new systems.

Subpart C—Requirements for Specific Categories of Records

21.30 Records of contractors.
21.31 Records stored by the General Services Administration and archival records.
21.32 Personnel records.
21.33 Medical records.

Subpart D—Procedures for notification and Access to Records in Privacy Act Record Systems

21.40 Procedures for submitting requests for notification and access.
21.41 Processing of requests.
21.42 Responses to requests.
21.43 Access to requested records.
21.44 Verification of identity.
21.45 Fees.

Subpart E—Procedures for Requests for Amendment of Records

21.50 Procedures for submitting requests for amendment of records.
21.51 Responses to requests for amendment of records.
21.52 Administrative appeals of refusals to amend records.
21.53 Notation and disclosure of disputed records.
21.54 Amended or disputed records received from other agencies.

Subpart F—Exemptions

21.60 Policy.
21.61 Exempt systems.
21.65 Access to records in exempt systems.

Subpart G—Disclosure of Records in Privacy Act Record Systems to Persons Other Than the Subject Individual

21.70 Disclosure and intra-agency use of records in Privacy Act Record Systems; no accounting required.
21.71 Disclosure of records in Privacy Act Record Systems, accounting required.
21.72 Individual consent to disclosure of records to other persons.
21.73 Accuracy, completeness, timeliness, and relevance of records disclosed from Privacy Act Record Systems.
21.74 Providing notice that a record is disputed.
21.75 Rights of legal guardians.

AUTHORITY: 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, 88 Stat. 1896 (5 U.S.C. 552a).

SOURCE: 42 FR 15626, Mar. 22, 1977, unless otherwise noted.

Subpart A—General Provisions

§ 21.1 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 20 of this chapter (the public information regulations) and other regulations referred to therein determined 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 § 21.43, (iii) persons provided records pursuant to individual consent under § 21.72, or (iv) persons acting on behalf of such individuals as legal guardians under § 21.75. Part 20 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 20 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 20 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 § 21.32. Such records are subject to regulations of the Civil Service Commission in 5 CFR Parts 293, 294, and 297.

§ 21.3 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 indi-

viduals 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 § 21.30, 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.

§ 21.10 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

§ 21.20 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 § 21.3(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 offical 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 § 21.61, a reference to this exemption.

(11) The categories of sources of records in the system.

§ 21.21 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 § 21.20(b), of any change in a Privacy Act Record System which:

(1) Increases the number or types of indivduals 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 § 21.20(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

§ 21.30 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(i) are applicable to such contractor, and any employee of such contractor, for disclosures prohibited in § 21.71 or for maintenance of a system of records without notice as required in § 21.20.

(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 requrements of this part.

(c) A contract is not considered to accomplish a Food and Drug Administration fuction 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 otherwiser. 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 § 21.21, the Food and Drug Administration shall comply with the requirements of § 21.21.

(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 21, 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(i) for violations of the Privacy Act.

§ 21.31 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.

21.32 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 § 21.33 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 20857, 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 §§ 21.40 through 21.43.

(2) Employee identity may be verified, if necessary, by an FDA ID card rather than in accordance with § 21.44.

(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 § 21.45.

(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 § 21.61 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.

§ 21.33 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 20 of this chapter, in addition to or in lieu of the procedures in paragraph (b)(1), that are not inconsistent with § 21.41(f).

Subpart D—Procedures for Notification of and Access to Records in Privacy Act Record Systems

§ 21.40 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 20857.

(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 Records 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, would indicate whether he prefers (1) to have copies of any such records mailed to him in accordance with § 21.43(a)(1), which may involve a fee under § 21.45, including information to verify his identify under § 21.44 or (2) to use the procedures for access in person under § 21.43(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 § 21.61, as indicated in the notice for the system. An individual seeking access to records under § 21.65(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 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 § 21.61, and access to the requested records is not granted under § 21.65, the request shall be handled under ther provisions of Part 20 of this chapter (the public information regulations).

(g) The Public Records and Documents Center shall maintain and make available copies of the forms (OF-203, Privacy Act Request forms) to assist individuals in filing requests under § 21.40.

§ 21.41 Processing of requests.

(a) An individual or his guardian under § 21.75 shall not be required to show any justification or need to obtain notification under § 21.42 or access to a record under § 21.43.

(b) The Food and Drug Administration will determine whether a request by an individual for record about himself is appropriately treated as a request under this subpart, or under the provisions of Part 20 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 § 21.42 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 Records and Documents Center that a request for access to records is appropriately treated as a request under Part 20 rather than this Part 21, or under both parts, the time limitations prescribed in § 21.41 of this chapter shall apply. In any case, access to available records shall be provided as promptly as possible.

(f) Except as provided in § 21.32, an individual's access to records about himself that are retrieved by his name of 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 § 21.61 and not required to be disclosed under § 21.65(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 20 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.

§ 21.42 Responses to requests.

(a) The FDA shall repond 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 § 21.3(a), the letter shall so state. Where appropriate, the letter shall indicate that the Food and Drug Administration's public information regulations in Part 20 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 20 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 § 21.61, or the system is exempt but access is allowed or required under § 21.65, the letter shall inform him that the records exist and shall either:

(i) Enclose a copy of the records under § 21.43(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 § 21.44 and the fees under § 21.45 do not exceed $25, or

(ii) Inform the individual of the procedures to obtain access to the records by mail or in person under § 21.43(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 § 21.44.

(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 § 21.61 and access is not allowed or required under § 21.65, the letter should inform him that the records are exempted from access and contest by § 21.61. 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 § 21.41(b). Where appropriate, the letter shall also indicate whether the records are available under Part 20 of this chapter (the public information regulations), and it may disclose the records in accordance with Part 20.

(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 neccessary 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 § 21.32, 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 20 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 20 of this chapter.

§ 21.43 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 Coodinator, at the Public Records and Documents Center at the address shown in § 20.30 of this chapter, or at any Food and Drug Administration field office listed in § 5.115 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.

§ 21.44 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 20 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 § 21.75, 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.

§ 21.45 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 § 21.33, 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 20857. Advance deposit shall be required where the total amount exceeds $50.

Subpart E—Procedures for Requests for Amendment of Records

§ 21.50 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 § 21.40(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 § 21.44.

(d) Written acknowledgement to 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.

§ 21.51 Responses to requests for amendment of records.

(a) The Food and Drug Administration shall take one of the following actions on the 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 § 21.32, such refusal may only be issued by the Associate Commissioner for Compliance or his designate.

(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 § 21.71(d) of a disclosure of the record under § 21.71(a), provide a copy of the record as amended, to all previous recipients of the record.

§ 21.52 Administrative appeals of refusals to amend records.

(a) If an individual disagrees with a refusal under § 21.51(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 20857.

(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 § 21.51(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.

§ 21.53 Notation and disclosure of disputed records.

When an individual has filed a statement of disagreement under § 21.52(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 § 21.70 or § 21.71(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 § 21.50.

(c) If an accounting was made under § 21.71(d) and (e) of a disclosure of the record under § 21.71(a), provide to all previous receipients of the record a copy of the statement of disagreement and the agency statement, if any.

§ 21.54 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 § 21.71 (d) and (e) of the disclosure of the record under § 21.71(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

§ 21.60 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.

§ 21.61 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 § 21.71(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 § 21.65(a)(2), (such records are exempt from 5 U.S.C. 552a (d)(1) through (4) and (f)) and §§ 21.40 through 21.54, 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 § 21.20(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.

§ 21.65 Access to records in exempt systems.

(a) Where a Privacy Act Record System is exempt and the requested records are unavailable under § 21.61, an individual may nevertheless make a request under § 21.40 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 20 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 §§ 21.40 through 21.54; 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 § 20.82(b) of this chapter.

(c) 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 § 21.61.

Subpart G—Disclosure of Records in Privacy Act Record Systems to Persons Other Than the Subject Individual

§ 21.70 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 § 21.75;

(2) To a third party pursuant to a written request by, or with a written consent of, the individual to whom the record pertains, or his legal guardian under § 21.75;

(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 20 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 § 21.30.

(b) No accounting is required for any disclosure or use under paragraph (a) of this section.

§ 21.71 Disclosure of records in Privacy Act Records Systems; accounting required.

(a) Except as provided in § 21.70, 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 § 21.20(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 Subcommitee 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 § 20.83(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 § 21.70.

(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 §§ 21.51(d)(3), 21.53(c), or 21.54(c).

(4) Except when the record is exempt from individual access and contest under § 21.61 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 acccordance 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.

§ 21.72 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, organization 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 § 21.44. 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 § 21.71(e)(2).

§ 21.73 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 § 21.71.

(b) Paragraph (a) of this section shall not apply to disclosures that are required under Part 20 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.

§ 21.74 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 § 21.51(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.

§ 21.75 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.