



# Federal Register

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**Monday,  
April 8, 2002**

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**Part II**

## **Department of Labor**

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**Office of the Secretary**

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**Privacy Act of 1974; Publication in Full  
of All Notices of Systems of Records  
Including Several New Systems;  
Publication of Proposed Routine Uses;  
Notice**

**DEPARTMENT OF LABOR****Office of the Secretary****Privacy Act of 1974; Publication in Full of All Notices of Systems of Records Including Several New Systems; Publication of Proposed Routine Uses**

**AGENCY:** Office of the Secretary, Labor.

**ACTION:** Notice; publication in full of all notices of systems of records, including several new systems; publication of a new universal routine use for all systems of records; publication of several proposed system-specific routine uses, as well as substantive amendments.

**SUMMARY:** This notice provides an accurate and complete text with both proposed substantive and non-substantive changes of this agency's 147 systems of records which are currently maintained under the Privacy Act of 1974. This notice also proposes one new universal routine use for all of the systems. This notice will update our last complete publication in full which appeared in the **Federal Register** on September 23, 1993. In addition to 33 new systems of records, which are being published for the first time, it will propose substantive amendments to 60 other systems which have been previously published. Twenty-nine (29) systems will be amended in a non-substantive manner. The notice deletes 31 systems.

**DATES:** Persons wishing to comment on newly published systems and on the proposed routine uses, both universal and specific, may do so by June 7, 2002.

**EFFECTIVE DATE:** Unless there is a further notice in the **Federal Register**, the new systems of records and the proposed routine uses will become effective June 27, 2002. The notices, pertaining to the 29 systems with non-substantive (administrative) changes are effective on April 8, 2002.

**ADDRESSES:** Written comments may be sent or delivered to Robert A. Shapiro, Associate Solicitor, Office of the Solicitor, Division of Legislation and Legal Counsel, U.S. Department of Labor, Room N-2428, 200 Constitution Avenue, NW., Washington, DC 20210.

**FOR FURTHER INFORMATION CONTACT:** Miriam McD. Miller, Co-Counsel for Administrative Law, Office of the Solicitor, U.S. Department of Labor, 200 Constitution Avenue, NW, Room N-2428, Washington, DC 20210; Telephone (202) 693-5500.

**SUPPLEMENTARY INFORMATION:****1. Background**

Pursuant to section three of the Privacy Act of 1974 (5 U.S.C. 552a(e)(4)), hereinafter referred to as the Act, the Department hereby publishes notice of a new universal routine use, as well as thirty-three (33) new systems of records currently maintained pursuant to the Act. This document supplements this Department's last consolidated publication of all of its Privacy Act systems of records. On September 23, 1993, in Volume 58 at Page 49548 of the **Federal Register**, the Department published a notice containing 138 systems of records which were maintained, at that time, under the Act. That document gave notice of eleven paragraphs containing universal routine uses which applied, across the board, to all 138 systems of records, except for the two employee counseling and medical systems of records. Those eleven paragraphs were presented in the General Prefatory Statement for that document. Thereafter, seven new systems of records were established as set forth in the following five documents. These five documents were as follows: 59 FR 18156, April 15, 1994 (two new systems); 60 FR 24897, May 10, 1995 (one new system); 60 FR 31495, June 15, 1995 (one new system); 62 FR 16610, April 7, 1997 (two new systems); and 62 FR 53343, October 14, 1997 (one new system). The 33 new systems published herein will increase the total number of systems to 147 after accounting for the 31 systems which are being deleted in this notice.

In addition to the seven new systems, discussed above, the Department made amendments to its existing systems subsequent to the September 23, 1993 consolidated publication. These amendments were published in three separate documents published as follows: 59 FR 47361, September 15, 1994, 63 FR 2417, January 15, 1998, and 63 FR 25234, May 7, 1998. You should also note that amendments were made to existing systems in the same documents which established the seven new systems of records.

**2. The Current Action**

Pursuant to section three of the Privacy Act of 1974 (5 U.S.C. 552a(e)(4)), the Department hereby publishes an updated consolidated publication in full for all of its 147 systems of records, including 33 new systems, currently maintained pursuant to the Privacy Act of 1974. As noted above, the Department's last consolidated publication in full appeared in the **Federal Register** on

September 23, 1993, at page 49548 in Volume 58 of the **Federal Register**.

This notice also proposes one new universal routine use to be added to the Department's current list of eleven universal routine uses. These universal routine uses apply across the board to all of the Department's systems of records. The original eleven universal routine uses, being republished herein, are essentially a refined version of those universal routine uses which were published on September 23, 1993, at pages 49554-49555 in Volume 58 of the **Federal Register**.

Besides these twelve universal routine uses, both substantive and non-substantive changes have been made to certain of the system-specific routine uses which appear within the body of most of the systems.

As noted above, this notice will add 33 new systems which are being published for the first time; it amends 60 existing systems in a substantive manner, and it amends 29 existing systems in a non-substantive manner. This notice deletes 31 systems.

The following is a listing of the substantive and non-substantive additions, changes, and deletions to the various departmental systems of records. This listing will not describe extremely non-substantive revisions to the Department's existing systems of records.

The public, the Office of Management and Budget (OMB), and the Congress are invited to submit written comments on the 33 new systems, and on the other substantive amendments. A report on all of the new systems and on the substantive amendments has been provided to OMB and to the Congress as required by OMB Circular A-130.

**Revisions to the Universal Routine Uses Appearing Within the General Prefatory Statement***A. Refinements to the Current Universal Routine Uses*

The Department is proposing certain grammatical refinements to the eleven routine uses of the records which currently appear within the General Prefatory Statement. In addition, routine use number 10, disclosure to the Office of Management and Budget (OMB), is being broadened to include all legislative matters, instead of being limited to private relief legislation. These universal routing uses apply across the board to all current systems of records, except for the two employee counseling and medical systems.

*B. A New Universal Routine Use*

The new universal routine use of the records proposed herein will be

designated as universal routine use number 12, and will appear within the General Prefatory Statement. This routine use will permit the Department to disclose the fact that an employee conduct investigation may be underway, based upon an allegation of prohibited activity, in the event of a media request, or in the event that the subject of the investigation has released information to the public.

#### **Government-Wide Systems by the Department of Labor**

DOL/GOVT-1, entitled *Office of Workers' Compensation Programs, Federal Employees' Compensation File*, is being amended by maintaining its covered records in an electronic format as well as in paper files. The subject of the file, as well as other parties, as specified in this notice, will be able to access information relating to the claim in either format. Ultimately, the plan is to maintain all open claim files only electronically. In addition, this system of records is revising its Routine Uses category to balance the privacy interests of those persons seeking benefits under the FECA with the benefits of providing access to these records for the purposes specified in the routine uses.

DOL/GOVT-2, entitled *Job Corps Student Records*, is being revised to rename its enrollees as students.

#### **Office of the Secretary (OSEC)**

DOL/OSEC-1, *Supervisor's/Team Leader's Records of Employees*, is amended by revising several of its categories so that new information can be collected such as labor relations information and requests for reasonable accommodation. For this purpose, the Category of Records and Routine Uses Category have been expanded. In addition, the system has been renamed, and the Location category has been amended.

DOL/OSEC-4, *Credit Data on Individual Debtors*, has been deleted since it is no longer needed inasmuch as this function has been taken over by the U.S. Treasury Department. Accordingly, the records have been destroyed.

DOL/OSEC-5, *High Performance Work Place Tracking Database*, has been deleted since it never became operational, and no records were ever created.

#### **Office of the Assistant Secretary for Administration and Management (OASAM)**

DOL/OASAM-4, *Occupational Accident/Injury/Illness Reporting System (AIIRS) File*, has been amended to reflect a new place for the system

location and a new title of the system manager.

DOL/OASAM-5, *Rehabilitation and Counseling File*, has been amended by revising several categories in order to make the notice more descriptive.

DOL/OASAM-7, *Employee Medical Records*, has been amended by revising several categories in order to make the notice more descriptive.

DOL/OASAM-11, *Training Information System*, and DOL/OASAM-14, *Automated Position Control System*, have been transferred into new system DOL/OASAM-36, *PeoplePower*, and are therefore, deleted from this notice.

DOL/OASAM-12, *Administrative Grievance Records*, has been amended to reflect a new place for the system location and a new title of the system manager.

DOL/OASAM-15, *Travel and Transportation System*, has been transferred to the Office of the Chief Financial Officer, and has been renumbered as DOL/CFO-3.

DOL/OASAM-17, *Equal Employment Opportunity Complaint Files*, has been amended to reflect a new place for the system location and a new title of the system manager.

DOL/OASAM-19, *Negotiated Grievance Procedure and Unfair Labor Practice Files*, has been amended to reflect a new place for the system location and a new title of the system manager.

DOL/OASAM-20, *Personnel Investigation Records*, has been amended to reflect a new place for the system location and a new title of the system manager.

DOL/OASAM-22, *Civil Rights Center Citizen Discrimination Complaint Files*, has been amended to reflect a new place for the system location and a new title of the system manager. Also, the system of records is being amended to reflect additional statutory jurisdiction for the Welfare-to-Work grant program and the Workforce Investment Act.

DOL/OASAM-23, *Travel Management Center*, has been amended to reflect a new title for the system.

DOL/OASAM-24, *Privacy Act/Freedom of Information Act Requests File System*, has been amended to reflect a new place for the system location and a new title of the system manager.

DOL/OASAM-25, *Intergovernmental Personnel Act Assignment Records*, has been amended to reflect a new place for the system location and a new title of the system manager.

DOL/OASAM-26, *Frances Perkins Building Parking Management System*, is being amended with respect to the category of Records to add the Social Security Numbers of the individuals

who apply for and receive parking privileges. In addition, the category for Routine Uses will be amended so that data can be disclosed by DOL to other governmental agencies to enable these agencies to compare the names of car pool members. Finally, the categories for Records and Record Source are being amended to permit other government agencies to disclose data to DOL so that DOL can compare the names of car pool members.

DOL/OASAM-27, *Employee/Contractor Identification Program*, has been amended to reflect a new place for the system location and a new title of the system manager.

DOL/OASAM-28, *Incident Report/Restriction Notice*, has been amended to reflect a new place for the system location and a new title of the system manager.

DOL/OASAM-29, *OASAM Employee Administrative Investigation File*, has been amended to reflect a new place for the system location and title of the system manager.

DOL/OASAM-30, *Injury Compensation System (ICS)*, has been deleted because its information belongs in DOL/GOVT-1, this Department's government-wide system for processing injury claims by federal employees. That system is entitled *Office of Workers' Compensation Programs, Federal Employees Compensation File*.

DOL/OASAM-31, *DOL Flexible Workplace (Flexiplace) Programs Evaluation and Files*, has been amended to reflect that the flexiplace program has advanced from a pilot program to a permanent program. Also, the categories for Location and System Manager have been amended to reflect changes in both.

DOL/OASAM-32, *Transit Subsidy Management System*, is a new system of records to be used to validate identification of employees who request and receive a transit subsidy.

DOL/OASAM-33, *Entity Database*, is a new system of records which contains the data to complete applications, personnel and administrative forms, and to provide input to various small systems used in administrative and management of DOL employees.

DOL/OASAM-34, *DOL Fitness Association (DOLFA) Membership Files*, is a new system of records which is used to administer the Department's Fitness Center which provides exercise facilities in the building.

DOL/OASAM-35, *DOL Child Care Subsidy Programs Records*, is a new system of records which will establish and verify Departmental employees' eligibility for child care subsidies in

order for the Department to provide monetary assistance to its employees.

DOL/OASAM-36, *PeoplePower*, is a new electronic system of records which will produce official personnel actions notifications, and to store and provide access to current and historical human resource information for all of the Department's employees. It will also aid in the performance of several management functions. Former systems, DOL/OASAM-11 and DOL/OASAM-14, have been transferred into this new system.

#### **Office of the Administrative Law Judges (OALJs)**

DOL/OALJ-1 has been renamed the *Office of Administrative Law Judges Case Tracking System*, and its Routine Use category has been amended to state that its proceedings and court dockets records are public and are available for public inspection.

DOL/OALJ-2, entitled *Office of Administrative Law Judge Case Files*, is a new system of records for the purpose of maintaining records in the adjudication of cases and the determination of issues in hearings and appeals proceedings. Its Routine Uses category provides for public disclosure of its proceedings and decisions.

DOL/OALJ-3, entitled *Contract List*, is a new system of records for the purpose of maintaining a list of contractors to assist in managing contracts with contractors.

DOL/OALJ-4, entitled *Notification List*, is a new system of records for the purpose of providing electronic mail notifications of web site updates to the registrants in the system.

#### **Office of the Administrative Review Board**

DOL/ARB-1, *Administrative Review Board Appeals Files*, (formerly DOL/OAA-1) has been amended and updated to reflect the change in agency name from Office of Administrative Appeals to Administrative Review Board and to clarify the routine uses.

#### **Office of the American Workplace (OAW)**

This Office no longer exists, but its duties and responsibilities have been transferred into the Employment Standards Administration (ESA). In this connection, in the **Federal Register** of October 14, 1997 (62 FR 53343 at 53347), DOL/OAW-1 was renamed as DOL/ESA-45, *Investigative Files of the Office of Labor-Management Standards*.

The following four systems of the OAW are being deleted as noted below. The records for these four systems have been transferred to the National

Archives and Records Administration (NARA) since they are permanent records.

DOL/OAW-2, *Lists of Airline Employees Protected Under the Rehire Program*, is being deleted because this program is inactive.

DOL/OAW-3, *Semi-Annual Lists of Hired Employees*, is being deleted because this program is inactive.

DOL/OAW-4, *Rehire Program Appellant and Inquiry Files*, is being deleted because this program has been terminated.

DOL/OAW-5, *OLMP/OSP, Redwood Employee Protection Program, Health, Welfare, and Pension Claims and Benefit Payments* (including severance benefits and benefits for salary replacement, retraining, job search and relocation) is being deleted because this program has been terminated.

#### **Office of the Assistant Secretary for Policy (ASP)**

DOL/ASP-1, *National Agricultural Workers Survey (NAWS) Research File, Case Tracking Files, Name Index, USDOL/ASP*, is amended by changing several categories including Location, Records, Purpose and Routine Uses. The revised Routine Uses Category will provide additional protection to the privacy interests of the participants in the study. This additional privacy protection is achieved by making several of the Universal Routine Uses, contained within the General Prefatory Statement, inapplicable to this system of records.

#### **Benefits Review Board (BRB)**

DOL/BRB-1, *Appeals Files—Benefits Review Board*, has been amended to reflect the new address of the system's location and to clarify the routine uses.

#### **Bureau of Labor Statistics (BLS)**

DOL/BLS-2, *Staff Utilization System*, is being deleted because this system of records has been closed, and its records have been destroyed.

DOL/BLS-4, *Business Research Advisory Council* and DOL/BLS-5, *Labor Research Advisory Council*, are being deleted. Information and data for all of the Department's advisory committees have been transferred to the Office of Small Business Programs (DOL/OSBP) which has established a new system of records for this purpose, entitled DOL/OSBP-2, *Department of Labor Advisory Committees Members Files*.

DOL/BLS-6, *Applicant Race and National Origin (ARNO) System, Form E-7*, has been amended to reflect a new title of the system manager.

DOL/BLS-7, *BLS Employee Conduct Investigation*, has been amended to reflect a new title of the system manager.

DOL/BLS-8, *BLS Employee ADP Training History*, is being amended to include the employee's Social Security Number, and a new title of the system manager. In addition, certain minor changes are being made.

DOL/BLS-9, *Routine Administrative Files*, is being amended by revising several categories to make the system more descriptive. These categories are Individuals Covered, Records, and Record Sources. In addition, certain non-substantive, administrative changes are being made throughout the system.

DOL/BLS-11, NIH and Boeing User ID Database, is being renamed as *Mainframe User ID Database*, and the system is being amended to reflect a new location for the system's electronic records and a new title of the system manager.

DOL/BLS-13, *National Longitudinal Survey of Youth 1979 (NLSY79) Database*, and DOL/BLS-17, *National Longitudinal Survey of Youth 1996 (NLSY96)*, which are each research surveys of youth, are being expanded so that information can be received from persons who interact with the respondents.

DOL/BLS-15, *Management Research Files*, is being deleted, because the underlying project was closed down, and no records were ever created.

DOL/BLS-16, *Annual Survey of Occupational Injuries and Illnesses*, is being deleted as a Privacy Act system of records, because these records are no longer maintained or retrieved by name or by a personal identifier.

DOL/BLS-18, *Postal Square Building Parking Management Records*, is a new system which is needed to administer the parking and car pool programs at the Postal Square Building wherein the Bureau is housed.

DOL/BLS-19, *Customer Information Files*, is a new system to maintain and service the list of customers who request BLS information.

DOL/BLS-20, *Fellowship Applicants and Recipients Files*, is a new system which maintains a list of applicants and recipients of fellowship awards. These individuals are not federal employees but are assigned to work with the BLS staff and/or BLS non-public data files.

#### **Office of the Chief Financial Officer (CFO)**

DOL/CFO-1, *Attendance, Leave and Payroll File*, is being amended by revising the category of Records in the System to include data from the newly created DOL/OASAM-32, *Transit*

*Subsidy Management System.* It is amended by changing the category for Routine Uses, by permitting disclosure of data to other governmental agencies for the purpose of comparing transit subsidy recipients and car pool applicants. This system of records was last published on January 15, 1998 at 63 FR 2417. That publication inadvertently failed to list certain previously approved disclosures under paragraphs E. and F. of the Routine Uses Category. [An earlier publication of this system, at 62 FR 16614, on April 7, 1997, correctly contained the previously approved disclosures]. This document lists all approved disclosures. Finally, an additional routine use, permitting disclosure of information to labor organizations, is being added.

DOL/CFO-3 is a new system for the CFO, having been transferred into CFO from OASAM. It is entitled the *Travel and Transportation System*, and was formerly entitled OASAM-15.

**The Office of Disability Employment Policy (ODEP) formerly entitled the President's Committee on Employment of People With Disabilities (PCEPD)**

DOL/PCEPD-1, *Job Accommodation Network (JAN) Files*, has been redesignated as DOL/ODEP-1 because of a reorganization within the Department.

DOL/ODEP-2, *Workforce Recruitment Program (WRP) Database*, is a new system of records to maintain records on a database resource of college students with disabilities so that federal and private sector employers may be able to identify qualified employees in a variety of fields.

**Employees' Compensation Appeals Board (ECAB)**

DOL/ECAB-1, *Employees' Compensation Appeals Board Docket Records*, has been amended to reflect the new address of the system location and to clarify the routine uses.

DOL/ECAB-2, *Employees' Compensation Appeals Board Disposition Records*, has been amended to reflect the new address of the system location and to clarify the routine uses.

**Employment Standards Administration (ESA)**

DOL/ESA-2, *Office of Federal Contract Compliance Programs, Complaint Case Files*, is changed to correct name of system and to add "class action" to Record Source Categories.

DOL/ESA-5, *Office of Workers' Compensation Programs, Black Lung Antidiscrimination Files*, has been refined in a non-substantive manner.

DOL/ESA-6, *Office of Workers' Compensation Programs, Black Lung Benefits Claim File*, has been refined in a non-substantive manner.

DOL/ESA-12, *Office of Workers' Compensation Programs, Black Lung X-ray Interpretation File*, is being deleted because these records have been transferred into DOL/ESA-6.

DOL/ESA-15, *Office of Workers' Compensation Programs, Longshore and Harbor Workers' Compensation Act Case Files*, has been amended with respect to the category for Routine Uses. Disclosures have been both expanded and reduced by these amendments.

DOL/ESA-24, *Office of Workers' Compensation Programs, Longshore and Harbor Workers' Compensation Act Special Fund System*, has been amended with respect to the category for Routine Uses. Disclosures have been both expanded and reduced by these amendments.

DOL/ESA-25, *Office of Federal Contract Compliance Programs, Executive Management Information Systems (OFCCP/EIS)*, is amended to include "TRIS" in the system names, to change Location, to change Categories of Individuals Covered By The System, to change Categories of Records In The System, to change Authority for Maintenance of the system, to change Purpose, to change Retrievability.

DOL/ESA-26, *Office of Workers' Compensation Programs, Longshore and Harbor Workers' Compensation Act Investigation Files*, has been amended by adding a note to the category for Routine Uses to provide that, pursuant to 5 U.S.C. 552a(b)(1), information from this system of records may be disclosed to members and staff of the Benefits Review Board, the Office of Administrative Law Judges, the Office of the Solicitor and other components of the Department who have a need for the record in the performance of their duties.

DOL/ESA-27, *Office of Workers' Compensation Programs, Longshore and Harbor Workers' Compensation Act Claimant Representatives*, has been amended by adding a note to the category for Routine Uses to provide that, pursuant to 5 U.S.C. 552a(b)(1), information from this system of records may be disclosed to members and staff of the Benefits Review Board, the Office of Administrative Law Judges, the Office of the Solicitor and other components of the Department who have a need for the record in the performance of their duties.

DOL/ESA-28, *Office of Workers' Compensation Programs, Physicians and Health Care Providers Excluded under the Longshore Act*, has been

amended with respect to the category for Routine Uses. Disclosures have been both expanded and reduced by these amendments. In addition, a note has been added to the category for Routine Uses to provide that, pursuant to 5 U.S.C. 552a(b)(1), information from this system of records may be disclosed to members and staff of the Benefits Review Board, the Office of Administrative Law Judges, the Office of the Solicitor and other components of the Department who have a need for the record in the performance of their duties.

DOL/ESA-29, *Office of Workers' Compensation Programs, Physicians and Health Care Providers Excluded under the Federal Employees' Compensation Act*. The same changes are made as described above with respect to DOL/ESA-28.

DOL/ESA-30, *Office of Workers' Compensation Programs, Black Lung Automated Support Package*, has been refined in a non-substantive manner.

DOL/ESA-31, *Office of Federal Contract Compliance Programs, Time Reporting Information System (TRIS)* is being deleted because it has been merged into DOL/ESA-25, *Office of Federal Contract Compliance Programs, Management Information System (OFCCP/MIS)*.

DOL/ESA-33, *Time Report Component of the Wage and Hour Investigative Support and Reporting Database (WHISARD), Compliance Officer's Weekly Report*, is amended to add "leave records" to the Categories of Records, add "statute" to Purpose, add "investigator" to Record Source Category, add the "Systems Exempted" Category which was inadvertently omitted from the previous publication.

DOL/ESA-34, *Farm Labor Contractor Registration File*, is amended to correct the name of the Florida system location, remove extraneous references in the Authority for Maintenance of the System, correct the name of the Florida storage location, correct the identity and address of system manager, and correct the identity and address of the person to whom contesting inquiries should be addressed and remove "Social Security Number" from the information required to make such inquiry.

DOL/ESA-35, *Farm Labor Contractor Employee Registration File*, is changed to correct the name of the Florida system location, remove extraneous references in the Authority for Maintenance of the System, correct the name of the Florida storage location, correct the identity and address of the System Manager, and correct the identity and address of the person to whom contesting inquiries should be

addressed and remove "Social Security Number" from the information required to make such inquiry.

DOL/ESA-36, *MSPA Civil Money Penalties in the Wage and Hour Investigative Support and Reporting Database (WHISARD)*, is amended to: Delete reference to "FLCRA" in the title of the record; add "District" offices to the system locations, remove extraneous references in the Authority for Maintenance of the System; add "District" offices to the storage locations; correct the identity and address of the system manager; correct the identity and address for Notification Procedure and remove "Social Security Number" from the information required to make such inquiry; correct the identity and address for record access procedures; and remove "social security number" from the information required to make such inquiry; and correct the identity and address for contesting record procedures and remove "social security number" from the information required to make such inquiry.

DOL/ESA-37, *MSPA Public Central Registry Records Files*, is changed to remove extraneous references in the authority for maintenance of the system, to add language in the routine uses category to allow disclosure of registration information via an "800" telephone number required by and published in 29 CFR 500.170; correct the identity and address of system manager, correct the identity and address for contesting record procedures and remove "Social Security Number" from the information required to make such inquiry, and to add "applications" to the record source categories.

DOL/ESA-38, *Wage and Hour Regional Office Clearance List—MSPA Registration*, is amended to show that the category of records shown as "personal identification" means "names, addresses and Social Security Numbers", to remove extraneous references in the Authority for Maintenance of the System, to include "providing historical and current compliance information to Wage and Hour National, Regional, and District offices as a purpose, correct the identity and address of system manager, and correct the identity and address for contesting record procedures and remove "Social Security Number" from the information required to make such inquiry.

DOL/ESA-39, *State Employment Service Clearance List—MSPA Registration*, is changed to: Remove "Division of Labor and Industry, Baltimore, Maryland; Delaware Department of Labor, Dover, Delaware; and New York Department of Labor,

Albany, New York" from system location; to show that the category of records shown as "personal identification" means "names, addresses and social security numbers"; to remove extraneous references in the Authority for Maintenance of the System; to correct the routine uses of records to show that this record will be disclosed to the Department of Labor and Employment Security, Tallahassee, Florida; New Jersey Department of Labor, Trenton, New Jersey; and Virginia Employment Commission, Richmond, Virginia; to correct the identity and address of the system manager; and to correct the identity and address for contesting record procedures and remove "Social Security Number" from the information required to make such inquiry.

DOL/ESA-40, *MSPA Tracer List*, is amended in Categories of Records to Delete reference to "FLCRA" in the title of the record, remove "Social Security Numbers" and add "certificate of registration numbers", to remove extraneous references in the authority for maintenance of the system, correct the identity and address of system manager, correct the identity and address for notification procedure and remove "social security number" from the information required to make such inquiry, correct the identity and address for record access procedures and remove "Social Security Number" from the information required to make such inquiry, and correct the identity and address for contesting record procedures and remove "Social Security Number" from the information required to make such inquiry.

DOL/ESA-41, *MSPA Certificate Action Records Files*, is amended to: Delete reference to "FLCRA" in the title of the record, remove extraneous references in the authority for maintenance of the system, add "and maintain a record" of persons who filed applications to the purpose, correct the identity and address of system manager, correct the identity and address for contesting record procedures and remove "Social Security Number" from information required to make such inquiry.

DOL/ESA-42, *Case Registration/ Investigator Form; in the Wage and Hour Investigative Reporting Database (WHISARD)*, is amended to change system name, to change categories of individuals covered, to change retrievability, and to make it an exempt system.

DOL/ESA-43, *Office of Workers' Compensation Programs, Federal Employees' Compensation Act and Longshore and Harbor Workers'*

*Compensation Act Rehabilitation Files*, has been amended with respect to the category for Routine Uses. Disclosures have been both expanded and reduced by these amendments. In addition, a note has been added to the category for Routine Uses to provide that, pursuant to 5 U.S.C. 552a(b)(1), information from this system of records may be disclosed to members and staff of the Benefits Review Board, the Office of Administrative Law Judges, the Office of the Solicitor and other components of the Department who have a need for the record in the performance of their duties.

DOL/ESA-44, *Office of Workers' Compensation Programs, Federal Employees' Compensation Act (FEC) and Longshore and Longshore and Harbor Workers' Compensation Act Rehabilitation Counselor Case Assignment, Contract Management and Performance, and Federal Employees' Compensation Act Field Nurses Files*, has been amended by the following additions: The note following the routine uses category regarding telephonic disclosure of information, which currently appears in the other ESA/OWCP Privacy Act Systems of Records, has been added and language is inserted into this note to reflect that, pursuant to 5 U.S.C. 552a(b)(1), information from this system of records is disclosed to members and staff of the Benefits Review Board, the Employees' Compensation Appeals Board, the Office of Administrative Law Judges, the Office of the Solicitor and other components of the Department who have a need for the record in the performance of their duties.

DOL/ESA-45, *Investigative Files of the Office of Labor-Management Standards (Formerly DOL/OAW-1)*, has been amended to reflect a reorganization of the Office of Labor-Management Standards (OLMS); to clarify the Categories of Individuals Covered by the System; to include the Congressional Accountability Act of 1995 (CAA); to change the authority citations; to include CAA in the Purpose; to make changes in the retention schedule, and to make typographical corrections.

DOL/ESA-46, is a new system entitled, *Migrant and Seasonal Agricultural Worker Protection Act (MSPA) Ineligible Farm Labor Contractors*, which is being established in order to maintain a listing of individuals who are ineligible to engage in any activity as a farm labor contractor or farm labor contractor employee. This listing is available to the general public, upon request.

DOL/ESA-47 is a new electronic system, entitled *Youth Peddler Bulletin*

Board, which is being established to exchange information with law enforcement agencies about individuals and organizations that employ young children as "door-to-door candy sellers." Access is available only to those enforcement agencies through the issuance of a "password".

DOL/ESA-48 is a new system, entitled "*Customer Service*" component of the *Wage Hour Investigative Support and Reporting Database (WHISARD)*, which is being established to provide Wage and Hour employees with an index of individuals who contact the Wage and Hour Division. This information may be used to provide assistance or to facilitate the processing of complaints.

DOL/ESA-49 is a new system, entitled *Office of Workers' Compensation Programs, Energy Employees' Occupational Illness Compensation Program Act File*, which is being established in order to adjudicate claims of current and former employees of the Department of Energy, its contractors, and predecessor agencies, and other individuals for compensation under the Energy Employees' Occupational Illness Compensation Programs Act (EEOICPA).

DOL/ESA-50 is a new system entitled *Office of Workers' Compensation Programs, Physicians and Health Care Providers Excluded under the Energy Employees' Occupational Illness Compensation Program Act*, which is being established as a companion system to DOL/ESA-49 in order to adjudicate claims of individuals for compensation under the Energy Employees' Occupational Illness Compensation Programs Act (EEOICPA).

DOL/ESA-51 is a new system entitled *OLMS Public Disclosure Request Tracking System*, which is being established to process requests made to the OLMS Public Disclosure Room, to prepare requests for payment, and to process payments.

#### **Employment and Training Administration (ETA)**

DOL/ETA-1, *Bureau of Apprenticeship and Training, Budget and Position Control File*, has been amended to include information from DOL/ETA-2, *Bureau of Apprenticeship and Training, Program Management Group, Budget and Position Control File*.

DOL/ETA-2 has been deleted since its records and function have been transferred into to DOL/ETA-1.

DOL/ETA-4, *Apprenticeship Management System (AMS)*, is being renamed *Apprenticeship Information Management System (AIMS)*.

DOL/ETA-8, *Job Corps Management Information System (JCMIS) File is being renamed Job Corps Student Pay, Allotment and Management Information System (SPAMIS)*.

DOL/ETA-21, *Employment and Training Administration Advisory Committees Members Files*, has been deleted. Information and data for all of the Department's advisory committees have been transferred to the Office of Small Business Programs (SBA) which has established a new system of records for this purpose, entitled DOL/OSBP-2, *Department of Labor Advisory Committees Members Files*.

DOL/ETA-23, *Federal Committee on Apprenticeship*, has been deleted. The information is to be included in a new department-wide system DOL/OSBP-2, described above.

DOL/ETA-25, *DOL/ETA Evaluation Research Projects of the Unemployment Compensation System*, has been amended to reflect a new name, and a new system manager.

DOL/ETA-27, *Youth Opportunity Grant Program Information Files*, is a new management information system designed to facilitate the uniform compilation and analysis of programmatic data necessary for reporting, monitoring, and evaluation purposes.

#### **Office of Inspector General (OIG)**

DOL/OIG-1, *General Investigative Files, Case Tracking Files, and Subject/Title Index, USDOL/OIG*, has been amended to reflect the title change (to *Investigative Files, Case Tracking System, Analysis, Complaints, Inspections, and Evaluation Files*, describe the system's categories of records more completely, clarify the routine uses and reflect the number of years files are retained.

DOL/OIG-2, *Freedom of Information/Privacy Act Records*, has been amended to clarify the routine uses.

DOL/OIG-3, *Case Development Records*, has been amended to reflect its title change (to *Investigative Case Files, Case Development and Intelligence Records*), to clarify the routine uses and to reflect the number of years information is retained.

DOL/OIG-5, *Audit Information, Tracking and Reporting System US DOL/OIG*, has been amended to clarify the routine uses and to change the number of years files are retained.

#### **Bureau of International Labor Affairs (ILAB)**

DOL/ILAB-2, entitled *Senior Technical Assistance Register*, has been deleted since this program has ended and the records have been destroyed.

#### **Mine Safety and Health Administration (MSHA)**

DOL/MSHA-1, *Coal and Metal and Nonmetal Mine Accident, Injury, and Illness*, has been amended to make editorial changes and corrections to these paragraphs: system name, system location, safeguards, retention and disposal, and system manager and address.

DOL/MSHA-3, *Metal and Nonmetal Mine Safety and Health Management Information System*, has been amended to make an editorial change in the area of retention and disposal.

DOL/MSHA-10, *Discrimination Investigations*, has been amended to make editorial changes and corrections to the categories of: Categories of Records in the system, Retrievability, Safeguards, Notification Procedure, Records Source categories, and to delete information in the categories of Record Access procedures and Contesting Record procedures.

DOL/MSHA-13, *Coal Mine Respirable Dust Program*, has been amended to make editorial changes, clarify categories of records in the system, and to update the retention and disposal procedures.

DOL/MSHA-15, *Health and Safety Training and Examination Records*, is revised to add clarity to the descriptions of types, uses, and safeguard of records, and to modify the retention and disposal section of the record system.

DOL/MSHA-18, *Coal Mine Safety and Health Management Information System*, has been amended to remove references to training personnel and add information related to samples taken by inspectors.

DOL/MSHA-19, *Employee Conduct Investigations System*, is amended to make editorial changes and corrections in the categories of: Categories of Records in the System; Storage; Safeguards; and Records Access Procedures.

DOL/MSHA-20, *Civil/Criminal Investigations*, has been amended to make editorial changes and corrections to the categories of: Individuals Covered by the System, Records in the System, Authority for Maintenance of the System, Retrievability, Notification Procedure, and to delete information in categories of Record Access Procedures and Contesting Record Procedures.

DOL/MSHA-21, *Assessments and Civil Penalty Debt Collection Activity and Reporting System*, is a new system to maintain records on operating companies and individuals indebted to the U.S. Department of Labor, Mine Safety and Health Administration, for civil penalties assessed as a result of

violations of the Mine Safety and Health Act of 1977 (Mine Act).

DOL/MSHA-22, *Education Policy and Development; National Mine Health and Safety Academy Permanent Record Card*, is a new system to maintain records on Mine Safety and Health inspectors who receive training. Records are used to track training and grades.

DOL/MSHA-23, *Educational Policy and Development; Education Field Services (EFS) Activity Reporting System*, is a new system of records. The Mine Safety and Health Administration has transferred all training specialists from Coal Mine Safety and Health and Metal/Nonmetal Safety and Health to Educational Policy and Development. This new system of records has been established to track information on the training specialists with regard to the mine being visited; number of personnel contacted; activities conducted; time spent on activities; and information on time utilization for Training Specialists.

DOL/MSHA-24, *Radon Daughter Exposure*, is a new system of records for the purpose of preventing over exposure of miners to radon daughters, a form of radiation which has been documented as causing cancer in humans and is well known as a severe hazard for metal and nonmetal miners.

#### **Occupational Safety and Health Administration (OSHA)**

DOL/OSHA-1, *Discrimination Complaint File*, is amended by revising the categories of System Location, Individuals Covered, Authority, System Manager, Purpose and Routine Uses.

DOL/OSHA-4, *Advisory Committee Candidates' Biographies*, is being deleted. As noted above, information and data for all of the Department's advisory committees have been transferred to the Office of Small Business Programs (OSBP) which has established a new system of records for this purpose, entitled DOL/OSBP-2, *Department of Labor Advisory Committees Members Files*.

DOL/OSHA-10, *OSHA Train-the-Trainer Outreach Program*, is amended by revising several of the categories, including the name of this system to the above name.

#### **Pension and Welfare Benefits Administration (PWBA)**

DOL/PWBA-1, *Employee Retirement Income Security Act Advisory Council on Employee Welfare and Pension Benefit Plan*, has been deleted and is included in the Department-wide system, entitled DOL/OSBP-2.

DOL/PWBA-2, *Office of Enforcement Index Cards and Investigation Files*, has been renamed as PWBA

*Enforcement Management System* due to the elimination of the use of index cards. The system has been computerized. No other substantive changes have been made.

DOL/PWBA-3, *ERISA Coverage Correspondence Files*, has been renamed as *PWBA Correspondence Files* to reflect that the system has been expanded to several PWBA national and field office components. The categories for System Location(s) and System Manager(s) reflect these changes. The Categories of Individuals Covered has been simplified. Categories of Records, Purpose and Retention and Disposal have been expanded to better reflect the variety of documents in the system.

DOL/PWBA-4, *Inquiry Correspondence Files*, has been renamed as *Technical Assistance and Inquiry System*. The system is now in use in all PWBA offices and services are now provided via telephone as well as through correspondence. The entire notice has been adjusted to reflect the expansion of the technical assistance program and to correct the retention and disposal information.

DOL/PWBA-5, *Public Disclosure Request Tracking System*, has been amended to reflect the change in location of the system and clarify the Categories of Individuals Covered and correct the Retention and Disposal Category.

DOL/PWBA-6, entitled *PWBA Debt Collection/Management System*, has been amended to clarify the Categories of Individuals Covered and the Categories of Records in the System.

DOL/PWBA-7, entitled *Employee Conduct Investigations*, has been amended to correct the system location.

DOL/PWBA-8, entitled *PWBA Consolidated Training Record* is a new system of records which is used to identify which employees have completed certain training courses, and the number of employees awaiting training.

DOL/PWBA-9, entitled *Office of Enforcement Correspondence Tracking System* is a new system of records used to track the progress of correspondence through the Office of Enforcement.

DOL/PWBA-10, entitled *PWBA Civil Litigation Case Information System*, is a new system of records used to access information related to civil litigation case files involving investigation initiated by DOL under Title I of ERISA.

DOL/PWBA-11, entitled *PWBA Criminal Case Information System*, is a new system of records used to maintain information about the progress and/or disposition of criminal cases involving private sector employee benefit plans.

DOL/PWBA-12, entitled *Publication Hotline Requests*, is a new system of records used to process requests made to the PWBA toll-free hotline for publications.

DOL/PWBA-13, entitled *Office of Exemption Determinations ERISA Section 502(l) Files*, is a new system of records used to document the Department's response to petitioners' requests for relief from the Section 502(l) penalties assessed upon those who are found to have violated the fiduciary and prohibited transaction provisions of Part 4 Title I of ERISA.

DOL/PWBA-14, entitled *Investment Advisor Registration Data Base*, is a new system of records used to develop a listing of individuals who have status as an investment advisor under ERISA.

DOL/PWBA-15, entitled, *PWBA Inventory Management Data Base*, is a new system of records used to identify the makes and models of all PWBA owned ADP hardware, the equipment's current location within the agency and the individual to whom it is assigned.

DOL/PWBA-16, entitled, *Form 5500EZ*, is a new system of records which maintains records on individuals who have filed pension plan reporting Form 5500EZ.

#### **Office of Small Business Programs (OSBP)**

DOL/OSBP-2, *Department of Labor Advisory Committee Members Files*, is a new system of records which centralizes all of the advisory committees' members files which were previously maintained by the various component agencies of the Department.

#### **Office of the Solicitor (OSOL)**

DOL/SOL-1, *Conflict of Interest File*, has been deleted because its remaining records and function have been transferred into an enlarged DOL/SOL-15, *Solicitor's Office Litigation Files*. Older records from this system have been destroyed pursuant to the records retention schedule.

DOL/SOL-2, *Employment and Training Legal Services Litigation and Investigation File*, has been deleted, because its records and function have been transferred into an enlarged DOL/SOL-15, *Solicitor's Office Litigation Files*.

DOL/SOL-5, *Job Training Partnership Act*, has been renamed as the *Workforce Investment Act Tort Claims Files*, and has been amended to reflect that its underlying statute has been superceded, and that its system's location has been narrowed to the Offices of the Regional Solicitors.

DOL/SOL-8, *Special Litigation Files*, has been deleted because its remaining

records and function have been transferred into an enlarged DOL/SOL-15, *Solicitor's Office Litigation Files*. Older records from this system have been destroyed pursuant to the records retention schedule.

DOL/SOL-10, *Privacy Act Litigation Files*, has been deleted, because its records and function have been transferred into an enlarged DOL/SOL-15, *Solicitor's Office Litigation Files*.

DOL/SOL-11, *Division of Civil Rights Defensive Litigation Files*, has been deleted, because its records and function have been transferred into an enlarged DOL/SOL-15, *Solicitor's Office Litigation Files*.

DOL/SOL-12, *Third-Party Recovery Files*, has been deleted, because its records and function have been transferred into an enlarged DOL/SOL-15, *Solicitor's Office Litigation Files*.

DOL/SOL-14, *DOL Subpoena Tracking System*, has been deleted, because its records and function have been transferred into an enlarged DOL/SOL-15, *Solicitor's Office Litigation Files*.

DOL/SOL-15, *Solicitor's Office Litigation Files*, has been greatly enlarged in order to accept information from the six litigation systems, which have been deleted, as noted above.

DOL/SOL-16, *Solicitor's Office Directory of Senior Management*, has been deleted because these records are no longer maintained. Older records from this system have been destroyed pursuant to the record retention schedule.

DOL/SOL-17, *Solicitor's Office Equipment Files*, has been renamed and enlarged in order to contain all of the component's equipment.

### **Veterans Employment and Training Administration (VETS)**

DOL/VETS-1, *Veterans' Reemployment Complaint File*, has been renamed as the *Uniformed Services Employment and Re-employment Right Act (USERRA) Complaint File*.

DOL/VETS-2, *Veterans' Preference Complaint File*, has been renamed as *Veterans' Preference Complaint File under the Veterans Equal Opportunities Act of 1998 (VEOA)*. It has been amended to reflect its new function of investigating possible violations of those federal laws pertaining to veterans' preference and other special considerations related to employment with Federal agencies.

### *Routine Uses of the Records*

The Department, in the General Prefatory Statement, sets forth twelve paragraphs containing routine uses of the records which apply to all systems.

The first eleven routine uses are a more refined version of those universal routine uses which were published on September 23, 1993, at pages 49554-49555 of Volume 58 of the **Federal Register**. The twelfth routine use is a new use.

### *Government-Wide Records*

Two systems of records are reported by the Department of Labor for all federal agencies since this Department has overall responsibility for the administration of the programs in connection with which these systems of records have been compiled. It is presumed that most, if not all, federal agencies maintain systems of records comprising a portion of the government-wide systems of records. In order to avoid duplication in reporting, the Department is reporting these systems on behalf of all agencies. The Department has control over these systems to the same extent as the Office of Personnel Management has control over systems of records containing federal employee personnel records. These systems are the Federal Employees' Compensation Act files and the Job Corps Student Records.

Signed at Washington, DC, this 19th day of March, 2002.

**Elaine L. Chao**,  
*Secretary of Labor.*

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### **Appendix—Responsible Officials**

#### **General Prefatory Statement**

##### *A. Universal Routine Uses of the Records*

The following routine uses of the records apply to and are incorporated by reference into each system of records published below unless the text of a particular notice of a system of records indicates otherwise. These routine uses *do not* apply to DOL/OASAM-5, *Rehabilitation and Counseling File*, nor to DOL/OASAM-7, *Employee Medical Records*.

1. To disclose the records to the Department of Justice when: (a) The agency or any component thereof; or (b) any employee of the agency in his or her official capacity; or (c) the United States Government, is a party to litigation or has an interest in such litigation, and by careful review, the agency determines that the records are both relevant and necessary to the litigation, and the use of such records by the Department of Justice is for a purpose that is

compatible with the purpose for which the agency collected the records.

2. To disclose the records in a proceeding before a court or adjudicative body, when: (a) The agency or any component thereof; or (b) any employee of the agency in his or her official capacity; or (c) any employee of the agency in his or her individual capacity; or (d) the United States Government, is a party to litigation or has an interest in such litigation, and by careful review, the agency determines that the records are both relevant and necessary to the litigation, and that the use of such records is a purpose that is compatible with the purpose for which the agency collected the records.

3. When a record on its face, or in conjunction with other information, 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, disclosure may be made to the appropriate agency, whether Federal, foreign, State, local, or tribal, or other public authority responsible for enforcing, investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto, if the agency determines by careful review that the records or information are both relevant and necessary to any enforcement, regulatory, investigative or prosecutive responsibility of the receiving entity, and that the use of such records or information is for a purpose that is compatible with the purposes for which the agency collected the records.

4. To a Member of Congress or to a Congressional staff member in response to an inquiry of the Congressional office made at the written request of the constituent about whom the record is maintained.

5. To the National Archives and Records Administration or to the General Services Administration for records management inspections conducted under 44 U.S.C. 2904 and 2906.

6. To disclose to contractors, employees of contractors, consultants, grantees, and volunteers who have been engaged to assist the agency in the performance of or working on a contract, service, grant, cooperative agreement or other activity or service for the Federal Government.

**Note 1.** Recipients shall be required to comply with the requirements of the Privacy Act of 1974, as amended, 5 U.S.C. 552a; *see also* 5 U.S.C. 552a(m).

7. To the parent locator service of the Department of Health and Human Services or to other authorized persons defined by Pub. L. 93-647 the name and current address of an individual for the purpose of locating a parent who is not paying required child support.

8. To any source from which information is requested in the course of a law enforcement or grievance investigation, or in the course of an investigation concerning retention of an employee or other personnel action, the retention of a security clearance, the letting of a contract, the retention of a grant, or the retention of any other benefit, to the extent necessary to identify the

individual, inform the source of the purpose(s) of the request, and identify the type of information requested.

9. To a Federal, State, local, foreign, or tribal or other public authority of the fact that this system of records contains information relevant to the hiring or retention of an employee, the granting or retention of a security clearance, the letting of a contract, a suspension or debarment determination or the issuance or retention of a license, grant, or other benefit.

10. To the Office of Management and Budget during the coordination and clearance process in connection with legislative matters.

11. To the Department of the Treasury, and a debt collection agency with which the United States has contracted for collection services to recover debts owed to the United States.

12. To the news media and the public when (1) the matter under investigation has become public knowledge, (2) the Solicitor of Labor determines that disclosure is necessary to preserve confidence in the integrity of the Department or is necessary to demonstrate the accountability of Department's officers, employees, or individuals covered by this system, or (3) the Solicitor of Labor determines that there exists a legitimate public interest in the disclosure of the information, except to the extent that the Solicitor of Labor determines in any of these situations that disclosure of specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

#### *B. System Location—Flexiplace Programs*

The following paragraph applies to and is incorporated by reference into all of the Department's systems of records under the Privacy Act, within the category entitled,

##### **SYSTEM LOCATION:**

"Pursuant to the Department of Labor's Flexiplace Programs, copies of records may be temporarily located at alternative worksites, including employees' homes or at geographically convenient satellite offices for part of the workweek. All appropriate safeguards will be taken at these sites."

##### **Government-Wide Records**

Two systems of records are reported by the Department of Labor for all federal agencies since this Department has overall responsibility for the administration of the programs in connection with which these systems of records have been compiled. It is presumed that most, if not all, federal agencies maintain systems of records comprising a portion of the government wide systems of records. In order to avoid duplication in reporting, the Department is reporting these systems on behalf of all agencies. The Department has control over these systems to the same extent as the Office of Personnel Management has control over systems of records containing federal employee personnel records.

1. Federal Employees' Compensation Act Files: All records relating to injury or death of civilian employees or other persons entitled to benefits under the Federal Employees' Compensation Act are the records of the Office of Workers'

Compensation Programs of the Department of Labor. The Office asserts control of these records under the provisions of 5 U.S.C. 8149 and Department regulations at 20 CFR 10.10. This notice applies to copies of claim forms and other documents relating to a compensation claim maintained by the employing agency. This notice, however, does not apply to other medical or related files not created pursuant to the Federal Employees' Compensation Act which may be in the possession of an agency. This system is entitled DOL/GOVT-1, Office of Workers' Compensation Programs, Federal Employees' Compensation File.

Initial determinations on requests for access, amendment or correction of records maintained in this system of records shall be made by the OWCP district office having jurisdiction over the particular claim. In addition, requests for access to copies of records maintained by the employing agency may be directed to that agency.

Administrative appeals from initial determinations denying access, amendment or correction, shall be addressed to the Solicitor of Labor, U.S. Department of Labor, 200 Constitution Avenue, NW, Washington, DC 20210, as required by 20 CFR 10.12.

2. Job Corps Student Records: All records which contain information about students during their stay in Job Corps, from entrance to placement and/or termination, are records which must be maintained by the Job Corps center. The Employment and Training Administration asserts control of these records under 29 U.S.C. 2881 *et seq.* This system is entitled DOL/GOVT-2, Job Corps Student Records.

Initial determinations concerning access, amendment or correction of this government-wide system of records shall be made by screening contractors, Job Corps Center Directors, Job Corps National or Regional Offices. Administrative appeals shall be referred to the Solicitor of Labor, U.S. Department of Labor, 200 Constitution Avenue, NW, Washington, DC 20210.

Special California Earthquake Co-operative Agreement

The San Francisco, California Regional Office of the Department of Labor's Office of Assistant Secretary for Administration and Management (OASAM), Region IX of OASAM, has entered into a reciprocal agreement with the U.S. Internal Revenue Service's Office of the Regional Counsel located in San Francisco. The purpose of this reciprocal agreement is to provide each with an alternative off-site location to store computer data. This back-up storage capacity will mitigate damage if an earthquake ever occurs in the San Francisco area. This agreement is based upon the fact that the respective offices of the participants are located at opposite ends of the downtown San Francisco district and the ground structure of the two areas is substantially different.

Addresses to Which Requests May Be Directed

The addresses of the various component units of the Department as well as its regional offices are contained in the Appendix annexed to this document.

In addition, the following government agencies also have Government-wide Systems of Records:

#### Government-Wide Systems

EEOC/GOVT--/1—Equal Employment Opportunity Complaint Records and Appeal Records  
 FEMA/GOVT-1—National Defense Executive Reserve System  
 GSA/GOVT-2—Employment Under Commercial Activities Contracts  
 GSA/GOVT-3—Travel Charge Card Program  
 GSA/GOVT-4—Contracted Travel Services Programs  
 MSPB/GOVT-1—Appeal and Case Records  
 OGE/GOVT-1—Executive Branch Public Financial Disclosure Reports and Other Ethics Program Records  
 OGE/GOVT-2—Confidential Statements of Employment and Financial Interests  
 OPM/GOVT-1—General Personnel Records  
 OPM/GOVT-2—Employee Performance File System Records  
 OPM/GOVT-3—Adverse Actions and Actions Based on Unacceptable Performance  
 OPM/GOVT-4—[Reserved]  
 OPM/GOVT-5—Recruiting, Examining and Placement Records  
 OPM/GOVT-6—Personnel Research and Test Validation Records  
 OPM/GOVT-7—Applicant—Race, Sex, National Origin and Disability Status Records  
 OPM/GOVT-8—[Reserved]  
 OPM/GOVT-9—Position Classification Appeals, Job Grading Appeals, and Retained Grade or Pay  
 OPM/GOVT-10—Employee Medical File System Records

#### DOL/GOVT-1

##### SYSTEM NAME:

Office of Workers' Compensation Programs, Federal Employees' Compensation Act File.

##### SECURITY CLASSIFICATION:

Most files and data are unclassified. Files and data in certain cases have Top Secret classification, but the rules concerning their maintenance and disclosure are determined by the agency, which has given the information the security classification of Top Secret.

##### SYSTEM LOCATION:

The central database for DOL/GOVT-1 is located at SUNGUARD, 600 Laurel Oak Road, Voorhees, New Jersey, 08043. Paper claim files and local databases are located at the various OWCP district offices, and in Kansas City (for imaged cases only); claim files of employees of the Central Intelligence Agency are located at that agency. Records from this system of records may be temporarily located in the office of health care providers and other individuals or entities with whom the Department contracts for such services as examination or evaluation of claimants.

Copies of claim forms and other documents arising out of a job-related injury that resulted in the filing of a claim under the Federal Employees' Compensation Act (FECA), may also be maintained by the employing agency (and where the forms were transmitted to the Office of Workers' Compensation Programs (OWCP) electronically, the original forms are maintained by the employing agency). In addition, records relating to third-party claims of FECA beneficiaries are maintained in the Division of Employee Benefits, Office of the Solicitor, United States Department of Labor, 200 Constitution Avenue, NW, Washington, DC 20210-0002, in the offices of the Regional and Associate Regional Solicitors, and in various offices of the United States Postal Service, which undertakes various duties relating to third party claims pursuant to an agreement with OWCP.

Pursuant to the Department of Labor's Flexiplace Programs, copies of records may be temporarily located at alternative worksites, including employees' homes or at geographically convenient satellite offices for part of the workweek. All appropriate safeguards will be taken at these sites.

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

Individuals and/or their survivors who file claims seeking benefits under the FECA by reason of injuries sustained while in the performance of duty. The FECA applies to all civilian federal employees, including various classes of persons who provide or have provided personal service to the government of the United States, and to other persons as defined by law such as state or local law enforcement officers, and their survivors, who were injured or killed while assisting in the enforcement of federal law. In addition, the FECA covers employees of the Civil Air Patrol, Peace Corps Volunteers, Job Corps students, Volunteers in Service to America, members of the National Teacher Corps, certain student employees, members of the Reserve Officers Training Corps, certain former prisoners of war, and employees of particular commissions and other agencies.

##### CATEGORIES OF RECORDS IN THE SYSTEM:

This system may contain the following kinds of records: reports of injury by the employee and/or employing agency; claim forms filed by or on behalf of injured federal employees or their survivors seeking benefits under the FECA; forms authorizing medical care and treatment; other medical records and reports; bills

and other payment records; compensation payment records; formal orders for or against the payment of benefits; transcripts of hearings conducted; and any other medical, employment, or personal information submitted or gathered in connection with the claim. The system may also contain information relating to dates of birth, marriage, divorce, and death; notes of telephone conversations conducted in connection with the claim; information relating to vocational and/or medical rehabilitation plans and progress reports; records relating to court proceedings, insurance, banking and employment; articles from newspapers and other publications; information relating to other benefits (financial and otherwise) the claimant may be entitled to; and information received from various investigative agencies concerning possible violations of Federal civil or criminal law.

The system may also contain consumer credit reports on individuals indebted to the United States, information relating to the debtor's assets, liabilities, income and expenses, personal financial statements, correspondence to and from the debtor, information relating to the location of the debtor, and other records and reports relating to the implementation of the Federal Claims Collection Act (as amended), including investigative reports or administrative review matters. Individual records listed here are included in a claim file only insofar as they may be pertinent or applicable to the employee or beneficiary.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 8101 *et seq.*, 20 CFR 1.1 *et seq.*

**PURPOSE(S):**

The FECA establishes the system for processing and adjudicating claims that federal employees and other covered individuals file with the Department of Labor's OWCP, seeking monetary, medical and similar benefits for injuries or deaths sustained while in the performance of duty. The records maintained in this system are created as a result of and are necessary to this process. The records provide information and verification about the individual's employment-related injury and the resulting disabilities and/or impairments, if any, on which decisions awarding or denying benefits provided under the FECA must be based.

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

In addition to those Department-wide routine uses set forth above in the

General Prefatory Statement to this document, disclosure of information from this system of records may be made to the following individuals and entities for the purposes noted when the purpose of the disclosure is both relevant and necessary and is compatible with the purpose for which the information was collected:

a. To any attorney or other representative of a FECA beneficiary for the purpose of assisting in a claim or litigation against a third party or parties potentially liable to pay damages as a result of the FECA beneficiary's FECA-covered injury and for the purpose of administering the provisions of sections 8131-8132 of the FECA. Any such third party, or a representative acting on that third party's behalf, may be provided information or documents concerning the existence of a record and the amount and nature of compensation paid to or on behalf of the FECA beneficiary for the purpose of assisting in the resolution of the claim or litigation against that party or administering the provisions of sections 8131-8132 of the FECA.

b. To federal agencies that employed the claimant at the time of the occurrence or recurrence of the injury or occupational illness in order to verify billing, to assist in administering the FECA, to answer questions about the status of the claim, to consider rehire, retention or other actions the agency may be required to take with regard to the claim or to permit the agency to evaluate its safety and health program. Disclosure to federal agencies, including the Department of Justice, may be made where OWCP determines that such disclosure is relevant and necessary for the purpose of providing assistance in regard to asserting a defense based upon the FECA's exclusive remedy provision to an administrative claim or to litigation filed under the Federal Tort Claims Act.

c. To other federal agencies, other government or private entities and to private-sector employers as part of rehabilitation and other return-to-work programs and services available through OWCP, where the entity is considering hiring the claimant or where otherwise necessary as part of that return-to-work effort.

d. To federal, state or private rehabilitation agencies and individuals to whom the claimant has been referred for evaluation of rehabilitation and possible reemployment.

e. To physicians, pharmacies, and other health care providers for their use in treating the claimant, in conducting an examination or preparing an evaluation on behalf of OWCP and for

other purposes relating to the medical management of the claim, including evaluation of and payment for charges for medical and related services and supplies.

f. To medical insurance or health and welfare plans (or their designees) that cover the claimant in instances where OWCP had paid for treatment of a medical condition that is not compensable under the FECA, or where a medical insurance plan or health and welfare plan has paid for treatment of a medical condition that may be compensable under the FECA, for the purpose of resolving the appropriate source of payment in such circumstances.

g. To labor unions and other voluntary employee associations from whom the claimant has requested assistance for the purpose of providing such assistance to the claimant.

h. To a federal, state or local agency for the purpose of obtaining information relevant to a determination concerning initial or continuing eligibility for FECA benefits, and for a determination concerning whether benefits have been or are being properly paid, including whether dual benefits that are prohibited under any applicable federal or state statute are being paid; and for the purpose of utilizing salary offset and debt collection procedures, including those actions required by the Debt Collection Act of 1982, to collect debts arising as a result of overpayments of FECA compensation and debts otherwise related to the payment of FECA benefits.

i. To the Internal Revenue Service (IRS) for the purpose of obtaining taxpayer mailing addresses for the purposes of locating a taxpayer to collect, compromise, or write-off a federal claim against such taxpayer; and informing the IRS of the discharge of a debt owed by an individual. Records from this system of records may be disclosed to the IRS for the purpose of offsetting a federal claim from any income tax refund that may be due to the debtor.

j. To the Occupational Safety and Health Administration (OSHA) for the purpose of using injury reports filed by Federal agencies pursuant to the FECA to fulfill agency injury reporting requirements. Information in this system of records may be disclosed to OSHA by employing agencies as part of any MIS system established under OSHA regulations to monitor health and safety.

k. To contractors providing services to DOL or any other federal agency or any other individual or entity specified in any of these routine uses or in the

Department's General Prefatory Statement who require the data to perform the services that they have contracted to perform, provided that those services are consistent with the routine use for which the information was disclosed to the contracting entity. Should such a disclosure be made to the contractor, the individual or entity making such disclosure shall insure that the contractor complies fully with all Privacy Act provisions, including those prohibiting unlawful disclosure of such information.

l. To the Defense Manpower Data Center—Department of Defense and the United States Postal Service to conduct computer matching programs for the purpose of identifying and locating individuals who are receiving Federal salaries or benefit payments and are delinquent in their repayment of debts owed to the United States under programs administered by the DOL in order to collect the debts under the provisions of the Debt Collection Act of 1982 (Pub. L. 97-365) by voluntary repayment, or by salary or administrative offset procedures.

m. To a credit bureau for the purpose of obtaining consumer credit reports identifying the assets, liabilities, expenses, and income of a debtor in order to ascertain the debtor's ability to repay a debt incurred under the FECA, to collect the debt, or to establish a payment schedule.

n. To consumer reporting agencies as defined by section 603(f) of the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or in accordance with section 3(d)(4)(A)(ii) of the Federal Claims Collection Act of 1966 as amended (31 U.S.C. 3711(f)) for the purpose of encouraging the repayment of an overdue debt, the amount, status and history of overdue debts, the name and address, taxpayer identification (SSN), and other information necessary to establish the identity of a debtor, the agency and program under which the claim arose, may be disclosed pursuant to 5 U.S.C. 552a(b)(12)

o. To a Member of Congress or to a Congressional staff member in response to an inquiry made by an individual seeking assistance who is the subject of the record being disclosed for the purpose of providing such assistance.

p. To individuals, and their attorneys and other representatives, and government agencies, seeking to enforce a legal obligation on behalf of such individual or agency, to pay alimony and/or child support for the purpose of enforcing such an obligation, pursuant to an order of a state or local court of competent jurisdiction, including Indian tribal courts, within any State,

territory or possession of the United States, or the District of Columbia or to an order of a State agency authorized to issue income withholding notices pursuant to State or local law or pursuant to the requirements of section 666(b) of title 42, United States Code, or for the purpose of denying the existence of funds subject to such legal obligation.

**Note:** Disclosure of information contained in this system of records to the subject of the record, a person who is duly authorized to act on his or her behalf, or to others to whom disclosure is authorized by these routine uses, may be made over the telephone or by electronic means. Disclosure over the telephone or by electronic means will only be done where the requestor provides appropriate identifying information. Telephonic or electronic disclosure of information is essential to permit efficient administration and adjudication of claims under the FECA. Pursuant to 5 U.S.C. 552a(b)(1), information from this system of records may be disclosed to members and staff of the Employees' Compensation Appeals Board, the Office of Administrative Law Judges, the Office of the Solicitor and other components of the Department who have a need for the record in the performance of their duties.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

The amount, status and history of overdue debts, the name and address, taxpayer identification (SSAN), and other information necessary to establish the identity of a debtor, the agency and program under which the claim arose, may be disclosed pursuant to 5 U.S.C. 552a(b)(12) to consumer reporting agencies as defined by section 603(f) of the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or in accordance with section 3(d)(4)(A)(ii) of the Federal Claims Collection Act of 1966 as amended (31 U.S.C. 3711(f)) for the purpose of encouraging the repayment of an overdue debt.

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

**STORAGE:**

Paper case files are maintained in manual files, while security case files are in locked cabinets. Automated data, including case files that have been transformed into electronic form, are stored in computer discs or magnetic tapes, which are stored in cabinets. Microfiche is stored in cabinets.

**RETRIEVABILITY:**

Files and automated data are retrieved after identification by coded file number and/or Social Security Number which is cross-referenced to employee by name, employing establishment, and date and nature of injury. Since the electronic

case management files were created in 1975, these electronic files are located in District Offices which have jurisdiction over the claim, and (as noted above under "system location"), a complete central data base is maintained at the location of the contractor. Prior to 1975, a paper index file was maintained; these records were transferred to microfiche and are located in the national office.

**SAFEGUARDS:**

Files and automated data are maintained under supervision of OWCP personnel during normal working hours—only authorized personnel, with the appropriate password, may handle, retrieve, or disclose any information contained therein. Only personnel having an appropriate security clearance may handle or process security files. After normal working hours, security files are kept in locked cabinets. Access to electronic records is controlled by password or other user identification code.

**RETENTION AND DISPOSAL:**

All case files and automated data pertaining to a claim are destroyed 15 years after the case file has become inactive. Case files that have been scanned to create electronic copies are destroyed after the copies are verified. Automated data is retained in its most current form only, however, and as information is updated, outdated information is deleted. Some related financial records are retained only in electronic form, and destroyed 6 years and 3 months after creation or receipt.

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

Director for Federal Employees' Compensation, Office of Workers' Compensation Programs, 200 Constitution Avenue, NW, Room S-3229, Washington, DC 20210-0002.

**NOTIFICATION PROCEDURE:**

An individual wishing to inquire whether this system of records contains information about him/her may write or telephone the OWCP district office that services the state in which the individual resided or worked at the time he or she believes a claim was filed. In order for the record to be located, the individual must provide his or her full name, OWCP claim number (if known), date of injury (if known), and date of birth.

**RECORD ACCESS PROCEDURES:**

Any individual seeking access to non-exempt information about a case in which he/she is a party in interest may write or telephone the OWCP district office where the case is located, or the

systems manager, and arrangements will be made to provide review of the file. Access to copies of documents maintained by the employing agency may be secured by contacting that agency's designated disclosure officials.

**CONTESTING RECORD PROCEDURES:**

Specific materials in this system have been exempted from certain Privacy Act provisions regarding the amendment of records. The section of this notice entitled "Systems Exempted From Certain Provisions of the Act," indicates the kind of materials exempted, and the reasons for exempting them. Any individual requesting amendment of non-exempt records should contact the appropriate OWCP district office, or the system manager. Individuals requesting amendment of records must comply with the Department's Privacy Act regulations at 29 CFR 71.1 and 71.9, and with the regulations found at 20 CFR 10.12 (1999).

**RECORD SOURCE CATEGORIES:**

Injured employees; beneficiaries; employing Federal agencies; other Federal agencies; physicians; hospitals; clinics; suppliers of health care products and services and their agents and representatives; educational institutions; attorneys; Members of Congress; OWCP field investigations; State governments; consumer credit reports; agency investigative reports; correspondence with the debtor including personal financial statements; records relating to hearings on the debt; and other DOL systems of records.

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

In accordance with 5 U.S.C. 552a(k)(2), investigative material in this system of records compiled for law enforcement purposes is exempt from subsections (c)(3), (d), (e)(1), (e)(4)(G), (H) and (I), and (f) of 5 U.S.C. 552a, provided, however, that if any individual is denied any right, privilege, or benefit that he or she would otherwise be entitled to by Federal law, or for which he or she would otherwise be eligible, as a result of the maintenance of these records, such material shall be provided to the individual, except to the extent that the disclosure of the material 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 prior to January 1, 1975, under an implied promise that the identity of the source would be held in confidence.

**DOL/GOVT-2**

**SYSTEM NAME:**

Job Corps Student Records.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

Screening contractors; Job Corps centers and operators (which includes contract and agency centers); Job Corps National Office; Job Corps Regional Offices; Federal Records Centers.

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

Job Corps applicants, students, and trainees.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Records contain information kept on the students, such as separate running accounts of the students' general biographical data; educational training, vocational training; counseling; recreational activities; dormitory logs; health (dental, medical, mental health, and drug testing records); administrative records covering data pertaining to enrollment allowances and allotments; leave records; Student Profile (ETA-640); and Center Standards Officer's disciplinary records.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

Subtitle C of Title I of the Workforce Investment Act of 1998, 29 U.S.C. 2881 *et seq.*

**PURPOSE(S):**

These records are maintained to ensure that all appropriate documents of the student's stay in Job Corps (covering application to placement and/or termination) are retained and are available to those officials who have a legitimate need for the information in performing their duties and to serve the interests and needs of the students in accordance with 29 U.S.C. 2881 *et seq.*

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

These records and information in these records may be used when relevant, necessary, and appropriate:

(1) To disclose photographs and student identities, with appropriate consent, to the news media, for the purpose of promoting the merits of the program.

(2) To disclose information, giving the summary of a student's academic and vocational achievement and general biographical information, to placement and welfare agencies, prospective employers, school or training institutions to assist in the employment of a student.

(3) To disclose information to State and Federal law enforcement agencies or other government investigators to assist them in locating a student and/or his or her family.

(4) To disclose information to appropriate Federal, State, and local agencies which have law enforcement jurisdiction over students (which includes probation or parole officers); and/or the property on which the center is located.

(5) To disclose all or any information to parents/guardians regarding students under the age of 18 for performance of parental rights and responsibilities.

(6) To disclose information to Job Corps health consultants; Job Corps Center Review Board members (in appropriate disciplinary cases); State, county, and local health services personnel; family planning agencies; and physicians (public or private) to whom a student is referred for diagnosis or to receive treatment to assure continuance of proper health care, or notification and contact tracking for communicable disease control.

(7) To disclose to State and local health departments all cases of infection or disease that are required to be reported to them in accordance with state and local laws. This disclosure shall be made by the Center Director.

**Note:** Center physicians shall deal with all cases of communicable diseases in accordance with Job Corps directives based on current recommendations of the Center for Disease Control of the Department of Health and Human Services.

(8) To disclose information to State and local health departments regarding infected persons who are unwilling to notify their contacts at the center for the purpose of enabling the counseling of contacts.

(9) To disclose information to medical laboratories necessary in identifying specimens for the purpose of testing.

(10) To disclose information to social service agencies in cases of a student's termination in order to provide services such as Medicaid, housing, finance, and placement.

(11) To disclose information to the Army Finance Center, Fort Benjamin Harrison, Indiana, to pay student allowances and maintain and dispose of their pay records.

(12) To disclose information to Federal, State, and local agencies and to community-based organizations for the operation of experimental, research, demonstration, and pilot projects authorized under sections 156, 171, or 172 of the Workforce Investment Act of 1998, 29 U.S.C. 2856, 2916, or 2917, except that in the case of a research project, the researcher shall guarantee to

protect the anonymity of all staff and students involved in any presentation of the results of such study.

(13) To disclose information to contractors and agencies that operate centers or have Outreach Admissions and Placement (OA&P) issues which demonstrate a legitimate need for the information to enable them to properly administer their responsibilities in the Job Corps program.

(14) To disclose to the Selective Service system names, social security number, date of birth, and address of students, to insure registration compliance for eligible applicants applying for Job Corps training benefits.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

None.

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

**STORAGE:**

Students' files are maintained in locked file cabinets; files are maintained on magnetic tapes, computer data base, and discs; printouts from army terminals which include payroll statistical reports.

**RETRIEVABILITY:**

Records are retrieved by name, social security number, and date of student entry.

**SAFEGUARDS:**

Records are maintained in file folders during center use; health records are placed in sealed envelopes after termination; on magnetic tapes, computer data base, or discs; and are stored in locked filing cabinets with access to those whose official duties require access.

**RETENTION AND DISPOSAL:**

Job Corps centers will maintain records of terminated students for a period of 3 years unless custodianship is extended or terminated, for administrative reasons, by the regional office. Counseling records are retained on the Job Corps center for 6 months after student's termination, after which they are destroyed. After termination, a summary or copy of the counseling record is placed in the health record.

After 3 years, centers will retire the records to the appropriate Federal Records center. Students' records are subject to destruction 75 years from the birth date of the youngest student's record contained in a GSA records retirement box, with the disposal authority being NC 369-76-2, item 59. [Note: Centers will send a copy of the SF 135-135 A (transmittal and receipt

form) to the appropriate Job Corps regional office, after they have received the accession number from the appropriate Federal Records Center. In the event of a student's death, the student's entire personnel record shall be sent to the U.S. Department of Labor Job Corps National Health Office within 10 days of date of student's death.]

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

Director, Office of Job Corps, U.S. DOL/ETA, Frances Perkins Building, 200 Constitution Avenue, NW., Washington, DC 20210.

**NOTIFICATION PROCEDURES:**

Requests for access of terminated student's records are to be directed to the appropriate U.S. DOL Regional Job Corps Office, or to the System Manager at the above address. Requests for current records can be directed to the appropriate center director or screening contractor.

**RECORD ACCESS PROCEDURES:**

A request for access to a record from this system shall be made in writing to the System Manager or appropriate center director, Regional Job Corps Director, or screening contractor, in accordance with rules and regulations of the Privacy Act of 1974, as amended, with the envelope and the letter clearly marked "Privacy Act Request", and the record sufficiently described in the letter for identification.

**CONTESTING RECORD PROCEDURES:**

Individuals desiring to contest or amend information maintained in this system should direct their request to the System Manager listed above, or appropriate center director, Regional Job Corps Director, or screening contractor, stating clearly and concisely what information is contested, the reasons for contesting the information, and the proposed amendment to the information sought. Details required for records identification are: (a) Full Name(s) (*i.e.*, name during enrollment); (b) Center(s) where enrolled; and (d) Date enrolled.

**RECORD SOURCE CATEGORIES:**

Outreach/screening and placement contractors; Job Corps centers; Job Corps students; employment services; parole officers; State and local law enforcement agencies.

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

None.

**DOL/OSEC-1**

**SYSTEM NAME:**

Supervisor's/Team Leader's Records of Employees.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

Immediate supervisor(s)/team leader(s) and two higher supervisory levels at all facilities of the Department, as well as the national and regional personnel offices. Emergency addressee information may be kept upon the supervisor's person when appropriate.

**Note:** Requests for a reasonable accommodation are made to supervisors. The Civil Rights Center may temporarily maintain a copy of such requests and of the medical documents submitted by the employee when the Public Health Service physician completes his or her review of the request.

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

Current employees and employees who have retired or left the office within the last twelve months.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Records related to individuals while employed by the Department and which contain such information as: record of employee/supervisor discussions, supervisor(s)/team leader(s) observations, supervisory copies of officially recommended actions, reports of FTS telephone usage containing call detail information, awards, disciplinary actions, emergency addressee information, flexiplace records, reports of on-the-job accidents, injuries, illnesses, correspondence from physicians, and training requests. The system also contains records relating to requests for reasonable accommodation, and/or leave, including medical documents submitted by employees, as well as reports and records by the Public Health Service physicians who have reviewed the accommodation requests.

The system also contains labor relations materials such as performance improvement plans (PIPs), reprimands, suspensions of less than 14 days, leave restrictions and related materials.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301, 1302, 2951, 4118, Reorganization Plan 6 of 1950, and the Civil Service Reform Act of 1978. The Rehabilitation Act and the American Disabilities Awareness Act.

**PURPOSE(S):**

To maintain a file for the use of supervisor(s)/team leader(s) in performing their responsibilities and to support specific personnel actions on employees.

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

A. Selected information may be disclosed at appropriate stages of adjudication to the Merit Systems Protection Board, Office of the Special Counsel, the Federal Labor Relations Authority, the Equal Employment Opportunity Commission, arbitrators, or the courts for the purposes of satisfying requirements related to investigation of prohibited personnel practices, appeals, special studies investigations of alleged EEOC discrimination practices and unfair labor practices.

B. Records relating to a request for a reasonable accommodation may be referred to the Public Health Service (PHS) or other physicians for their review and evaluation of the request.

C. Data may be disclosed to medical providers for the purpose of evaluating sick leave absences based upon illness or injury.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

None.

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

Records are maintained in manual files.

**RETRIEVABILITY:**

By name of employee.

**SAFEGUARDS:**

Locked storage cabinets and desks. Access limited to officials/employees on a need to know basis.

**RETENTION AND DISPOSAL:**

Records are maintained on current employees. Records on former employees are kept for one year, then destroyed.

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

All supervisor(s)/team leader(s) having responsibility for performance management plans, performance standards, or ratings.

**NOTIFICATION PROCEDURE:**

An individual may inquire whether the system contains a record pertaining to her/him by contacting the supervisor/team leader who completes his/her performance standards and rating.

**RECORD ACCESS PROCEDURES:**

A request for access will be addressed to the appropriate system manager listed above. Individuals must furnish their name in order for their records to be located and identified:

**CONTESTING RECORD PROCEDURES:**

A petition for amendments shall be addressed to the appropriate System Manager.

**RECORD SOURCE CATEGORIES:**

Information is supplied by the individual, supervisor(s)/team leader(s), agency officials, medical providers and co-workers.

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

None.

**DOL/OASAM-4****SYSTEM NAME:**

Safety and Health Information Management System (SHIMS).

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

1. Safety and Health Center, OASAM, U.S. Department of Labor, 200 Constitution Avenue, NW, Washington, DC 20210 and
2. DOL regional offices.
3. A copy of the modified CA-1/CA-2 Form used by the Office of Workers' Compensation Programs (OWCP) may be reproduced and retained in the office of the supervisor who files the form.

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

DOL employees and Job Corps students involved in occupationally related accidents, injuries and illnesses.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Reports of on-the-job accidents, injuries, and illnesses generated as a result of filing forms CA-1, CA-2, and CA-6.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

29 U.S.C. 651 *et seq.*, 29 CFR Part 1960, 5 U.S.C. 7902, DOL Secretary's Order 5-95, Executive Order 12196.

**PURPOSE(S):**

This system is used (a) to provide an information source for compliance with the Occupational Safety and Health Act; (b) to provide a documented record of job related accidents, injuries, and illnesses for the purpose of measuring safety and health programs' effectiveness; (c) to provide summary data of accident, injury and illness information to Departmental agencies in a number of formats for analytical purposes in establishing programs to reduce or eliminate loss producing hazards or conditions; (d) to provide summary listings of individual cases to Departmental agencies to ensure that all work-related injury/illness cases are

reported through the SHIMS; and (e) to use as a reference when adjudicating tort and employee claims.

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

None, except for those universal routine uses listed in the General Prefatory Statement to this document.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

None.

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

Records are stored on computer disks, and on hard copies filed in locked file cabinets.

**RETRIEVABILITY:**

Records are retrieved by claimant's last name, social security number, and employee category (DOL employee or Job Corps student).

**SAFEGUARDS:**

Records are maintained in locked storage equipment. Computer files are accessible only to authorized users through password/user ID system.

**RETENTION AND DISPOSAL:**

Records are maintained for five (5) years after each report is filed with the agency. Electronic copies are maintained for five (5) years and then downloaded onto a disk.

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

Director, Safety and Health Center, OASAM, U.S. Department of Labor, 200 Constitution Avenue, NW, Washington, DC 20210.

**NOTIFICATION PROCEDURE:**

Individuals wishing to inquire whether this system of records contains information about them should contact the systems manager, or the servicing regional office in which they are employed. Individuals must furnish in writing the following information for their records to be located and identified:

- a. Full name
- b. Date of birth
- c. Signature

**RECORD ACCESS PROCEDURES:**

Individuals wishing to request access to records should contact the appropriate office (national/regional). Individuals must furnish the following information for their records to be located:

- a. Full name
- b. Date of birth

## c. Signature

Individuals requesting access must also comply with the Privacy Act Regulations on verification of identity and access to records (5 CFR 297.201 and 297.203).

**CONTESTING RECORD PROCEDURES:**

Individuals wishing to request information about their records should contact in writing the systems manager. Individual must furnish the following information for their records to be located:

- a. Full name
- b. Signature

**RECORD SOURCE CATEGORIES:**

- a. The employee (or someone acting on his/her behalf).
- b. Witness (if any).
- c. Employing agency (supervisor or comp specialist).
- d. CA-1, CA-2, CA-6, forms used by OWCP.

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

None.

**DOL/OASAM-5****SYSTEM NAME:**

Employee Assistance Program (EAP) Records.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

The Employee Assistance Program (EAP), headquartered in the Safety and Health Center, Office of the Assistant Secretary for Administration and Management (OASAM), U.S. Department of Labor (DOL), 200 Constitution Avenue, NW., Washington, DC 20210, and offices of designated EAP service providers located elsewhere in the Washington metropolitan area and Department's regions.

**Note:** DOL may elect to use, under an interagency agreement or other contractual arrangement, the counseling staff of another Federal, state, or local government, or private or community organization. This system *does* not cover EAP records of DOL employees (current or former) or their family members that are maintained by other Federal agencies.

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

DOL employees or their family members, who have been assessed, referred for treatment/rehabilitation or otherwise counseled regarding alcohol or drug abuse or other emotional health issues by an EAP counselor responsible for providing services to DOL employees or their family members.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Records in this system include documentation of visits to counselors designated by the agency to provide EAP services (regardless of whether the counselors are employed by the Federal, state, or local government, or by a private sector or community organization); problem assessments; counseling; recommendations and/or referrals for treatment and/or rehabilitation; client cooperation with those recommendations and/or referrals; progress; and other notes or records of discussions held with the client made by the counselor. Additionally, records in this system may include documentation of the therapeutic or rehabilitative work performed by a private therapist or a therapist at a Federal, State, local government, or private organization. If the client was referred to the EAP by a supervisor due to work performance or conduct problems, the record may also contain information regarding such matters. When the client was referred to the EAP because of a positive drug test, required by DOL's drug-free workplace plan, the record will also contain information about such tests results.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 7901, 7904; 5 U.S.C. 7361-7362; 42 U.S.C. 290dd-3; 5 CFR part 792; 42 CFR part 2; and E.O. 12564.

**PURPOSE(S):**

These records are used to document the nature and extent of the client's problem; the counseling, recommendations and/or referrals for treatment and/or rehabilitation made by the EAP; and the extent of the client's participation in, and the results of treatment or rehabilitation in community or private sector programs; and any follow-up necessary.

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

a. DOL may elect to enter into interagency agreements or other contractual arrangements with other Federal agencies, private organizations or individuals for the purpose of providing EAP services for DOL employees and their family members. Relevant records will be disclosed to these providers.

b. Except where the records are covered by the Confidentiality of Alcohol and Drug Abuse Patient Records regulation, 42 CFR part 2, records and information in these records may be:

(1) Disclosed to the Department of Justice when: (A) DOL or any

component thereof; or (B) any employee of the agency in his or her official capacity; or (C) the United States Government, is a party to litigation or has an interest in such litigation, and by careful review, the agency determines that the records are both relevant and necessary to the litigation, and the use of such records by the Department of Justice is for a purpose that is compatible with the purpose for which the agency collected the records.

(2) Disclosed in a proceeding before a court or adjudicative body, when: (A) DOL or any component thereof; or (B) any employee of the agency in his or her official capacity; or (C) any employee of the agency in his or her individual capacity; or (D) the United States Government, is a party to litigation or has an interest in such litigation, and by careful review, the agency determines that the records are both relevant and necessary to the litigation, and that the use of such records is a purpose that is compatible with the purpose for which the agency collected the records.

c. Where the records are covered by the Confidentiality of Alcohol and Drug Abuse Patient Records regulation, 42 CFR part 2, records and information in these records may be used:

(1) To disclose, in accordance with 42 CFR 2.51, patient identifying information to medical personnel who have a need for the information about a patient for the purpose of treating a condition which poses an immediate threat to health of any person and which requires immediate medical intervention.

(2) To disclose patient identifying information to medical personnel of the Food and Drug Administration (FDA) under the circumstances set forth in 42 U.S.C. 2.51(b) *et seq.*;

(3) To disclose patient information when authorized by an order of a court of competent jurisdiction in accordance with 42 CFR 2.61;

(4) To disclose information to a Federal, State or local law enforcement authority that is directly related to a patient's commission of a crime committed on the premises of the program or against any program personnel or to a threat to commit such a crime. (See 42 CFR 2.12(a)(5));

(5) To disclose information to State or local law enforcement authorities on incidents of suspected child abuse or neglect. (See 42 CFR 2.12(c)(6)).

(6) To disclose the fact of a minor's application for treatment to the minor's parent or guardian where State law requires parental consent. (See 42 CFR 2.14(c));

(7) To disclose to a minor's parent or guardian, facts relevant to reducing a

threat to the life or physical well being of any individual, if the minor lacks capacity for rational choice (See 42 CFR 2.14(d));

(8) To disclose to a Qualified Service Organization (QSO), in accordance with 42 CFR 2.12(c)(4), that information needed by the QSO to provide services to the program;

(9) To disclose patient identifying information for the purpose of conducting scientific research under the circumstances set forth in 42 CFR 2.52;

(10) To disclose patient identifying information for audit and evaluation purposes under the circumstance set forth in 42 CFR 2.53

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

None.

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

**STORAGE:**

These records are maintained in file folders.

**RETRIEVABILITY:**

These records are retrieved by the name of the individual on whom they are maintained.

**SAFEGUARDS:**

These records are maintained in locked metal file cabinets labeled confidential with access strictly limited to personnel directly responsible for the management or operation of DOL's EAP. Such access and use must be in accordance with the provisions of the Privacy Act and 42 CFR part 2.

**RETENTION AND DISPOSAL:**

Records are maintained for three (3) years after the client's last contact with the EAP, or until any relevant litigation is resolved, or any periodic evaluation reports required by the U.S. Office of Personnel Management, DOL, or other authorities are completed. Records are destroyed by shredding or burning.

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

The Employee Assistance Program Administrator, Safety and Health Center, U.S. Department of Labor, 200 Constitution Avenue, NW, Washington, DC 20210.

**NOTIFICATION PROCEDURE:**

An individual wishing to inquire whether this system of records contains information about him/her should submit a written request to the system manager, stating that the request is being made pursuant to the Privacy Act, and including:

His/her full name, any former name, if applicable, home address, place and

approximate dates when EAP services were received, date and place of birth, and signature.

**RECORD ACCESS PROCEDURES:**

Follow the same steps described above.

**CONTESTING RECORD PROCEDURES:**

Follow the same steps described above. In addition, the written request for an amendment should include the following:

a. The precise identification of the records to be amended;

b. The identification of the specific material to be deleted, added, or changed; and

c. A statement of reasons for the request, including all available material substantiating the request.

Requests for amendment of records should include the words Privacy Act Amendment Request on both the envelope and at the top of the request letter.

**RECORDS SOURCE CATEGORIES:**

Information in this system of records comes from the individual to whom it applies, the supervisor of the individual if the individual was referred to the EAP by a supervisor, the staff of the EAP, other therapists or organizations providing treatment and/or rehabilitation, and other sources whom the EAP believes may have information relevant to treatment of the individual.

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

None.

**DOL/OASAM-7**

**SYSTEM NAME:**

Employee Medical File System Records (not job related).

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

For current employees, records are located in a health unit or dispensary of the Federal Occupational Health (FOH), U.S. Public Health Service, Department of Health and Human Services, or in a health unit or dispensary of another Federal or private sector entity which provides health services, under an interagency agreement or other contractual arrangement, to DOL employees. Medical records maintained by one of the latter entities may be considered the property of the entity providing care to the DOL employee; however, records maintained by FOH are considered the property of DOL.

For former employees, most records will be located in an Employee Medical

Folder (EMF) stored at the National Personnel Records Center operated by the National Archives and Records Administration (NARA). Agencies may retain some records on former employees for a limited time.

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

Individuals covered are those of the following who have received voluntary employee health services provided by the agency under the authority of 5 U.S.C. 7901:

a. Current and former DOL employees as defined in 5 U.S.C. 2105.

b. DOL contract employees and other visitors (including minors and employees of other Federal agencies) who may have received emergency care from the health unit or dispensary.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

This system is comprised of records developed as a result of the provision of voluntary employee health services offered by the agency under the authority of 5 U.S.C. 7901. These records contain the following information:

a. Medical history and other biographical data on those employees requesting voluntary periodic health examinations.

b. Test reports and medical diagnoses based on voluntary periodic health examinations or voluntary health screening program tests (tests for single medical conditions or diseases).

c. History of complaint, diagnosis, and treatment of injuries and illnesses cared for by the health unit or dispensary.

d. Vaccination records.

**Note:** Listed below are other types of medical records which are *not* covered by this system of records. Rather, they are covered by a government-wide system of records (OPM/GOVT-10), which is managed by the U.S. Office of Personnel Management (OPM), even though the records are not in OPM's physical custody. The routine uses of such records are defined in the Privacy Act Notice for OPM/GOVT-10. Such records include:

(1). Medical records, forms, and reports completed or obtained when an individual applies for a Federal job and is subsequently employed;

(2). Medical records, forms and reports completed during employment as a condition of employment, either by the employing agency or by another State or local government entity, or a private sector entity under contract to the employing agency;

(3). Records pertaining to and resulting from the testing of the employee for use of illegal drugs under Executive Order 12564. Such records

may be retained by the agency (e.g., by the agency Medical Review Official) or by a contractor laboratory. This includes records of negative results, confirmed or unconfirmed positive test results, and documents related to the reasons for testing or other aspects of test results;

(4). Reports of on-the-job injuries and medical records, forms, and reports generated as a result of the filing of a claim for Workers Compensation, whether the claim is accepted or not. (The official compensation claim file is not covered by the OPM system; rather, it is part of DOL's Office of Workers Compensation Program (OWCP) system of records.)

(5). All other medical records, forms, and reports created on an employee during his/her period of employment, including any retained on a temporary basis and those designated for long-term retention (i.e., those retained for the entire duration of Federal service and for some period of time after), except that, records maintained by an agency dispensary are included in this system of records only when they are the result of a condition of employment or related to an on-the-job occurrence including, for example, records of the specialized health services made available to investigative personnel of the Wage-Hour Division, under interagency agreement between PHS and DOL's Employment Standards Administration.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 7901 *et seq.*, 5 CFR 293, and 5 CFR 297.

**PURPOSE(S):**

These records document the utilization and provision of voluntary employee health services authorized by 5 U.S.C. 7901.

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

The records and information in this system of records may be used as follows:

a. Disclosed to the Department of Justice when: (1) DOL or any component thereof; or (2) any employee of the agency in his or her official capacity; or (3) the United States Government, is a party to litigation or has an interest in such litigation, and by careful review, the agency determines that the records are both relevant and necessary to the litigation, and the use of such records by the Department of Justice is for a purpose that is compatible with the purpose for which the agency collected the records.

b. Disclosed in a proceeding before a court or adjudicative body, when: (1)

DOL or any component thereof; or (2) any employee of the agency in his or her official capacity; or (3) any employee of the agency in his or her individual capacity; or (4) the United States Government, is a party to litigation or has an interest in such litigation, and by careful review, the agency determines that the records are both relevant and necessary to the litigation, and that the use of such records is a purpose that is compatible with the purpose for which the agency collected the records.

c. Used to refer information required by applicable law to be disclosed to a Federal, State, or local public health service agency, concerning individuals who have contracted certain communicable diseases or conditions. Such information is used to prevent further outbreak of the disease or condition.

d. Disclosed to the appropriate Federal, State, or local agency responsible for investigation of an accident, communicable disease, medical condition, or injury as required by pertinent legal authority.

e. Disclosed to the OWCP information in connection with a claim for benefits filed by an employee.

f. Disclosed to contractors providing medical or health counseling services to Department of Labor employees when such contractors have a need for the information in connection with their services. This would include medical or health personnel and employee assistance program (EAP) counselors.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

None.

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

**STORAGE:**

These records are stored in manual file folders.

**RETRIEVABILITY:**

These records are retrieved by the name of the individual to whom they pertain.

**SAFEGUARDS:**

Records are maintained in a locked file cabinet with access limited to personnel directly responsible for the management or operation of DOL's voluntary health services program. Such access and use must be in accordance with the provisions of the Privacy Act.

**RETENTION AND DISPOSAL:**

Records covered under OPM/GOVT-10 are retained and disposed of as required by that system. Records

covered by this system are destroyed six (6) years after the date of last entry.

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

Director, Safety and Health Center, Office of the Assistant Secretary for Administration and Management (OASAM), U.S. Department of Labor, 200 Constitution Avenue, NW, Washington, DC 20210.

**NOTIFICATION PROCEDURE:**

a. An individual wishing to inquire whether this system of records contains information about him/her should submit a written request to the appropriate DOL system manager, stating that the request is being made pursuant to the Privacy Act, and including: His/her full name, any former name, if applicable, home address, current or last place and dates of DOL employment, date and place of birth, and signature.

b. An applicant for DOL employment or a current DOL employee wishing to inquire whether OPM's government-wide system of records contains information about him/her should initially submit a written request, as above, to the appropriate DOL system manager.

**Note:** OPM retains authority under its record management authority and under the Privacy Act to decide appeals of initial agency determinations regarding access to and amendment of material in these systems.

c. A former employee wishing to inquire whether OPM's government-wide system of records contains information about him/her should initially submit a written request, as outlined above, to the Assistant Director for Workforce and Information Personnel Systems and Oversight Group, Office of Personnel Management, 1900 E Street, NW., Washington, DC 20415.

**RECORD ACCESS PROCEDURES:**

*Follow the steps described above.*  
*Note:* When a request for access involves medical or psychological records, the system manager may advise the requester that the material will be provided only to a physician designated by the subject. Upon receipt of the designation and upon verification of the physician's identity, the records will be made available to the physician, who will have full authority to disclose those records to the subject when appropriate.

**CONTESTING RECORD PROCEDURES:**

Follow the steps described above. In addition, the written request for an amendment should include the following:

The precise identification of the records to be amended; the

identification of the specific material to be deleted, added, or changed; and a statement of the reasons for the request, including all available material substantiating the request. Requests for amendment of records should include the words "Privacy Act Amendment Request" on both the envelope and at the top of the request letter.

**RECORD SOURCE CATEGORIES:**

- a. The individual to whom the information pertains.
- b. Laboratory reports and test results.
- c. Medical staff working in the health unit or dispensary who have examined, tested, or treated the individual.
- d. The individual's co-workers or supervisors.
- e. The individual's personal physician.
- f. Other Federal employee health units.

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

None.

**DOL/OASAM-12**

**SYSTEM NAME:**

Administrative Grievance Records.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

1. Human Resources Center, U.S. Department of Labor, 200 Constitution Avenue, NW, Washington, DC 20210; National and Regional Personnel Offices;
2. Office of the Solicitor, Washington, DC, and Regional Offices of the Solicitor.

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

Current or former DOL employees who have filed grievances, under DOL's administrative grievance procedure in accordance with 5 CFR part 771 and DOL's implementing regulation.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

The system contains records relating to grievances filed by DOL employees under administrative grievance procedures and in accordance with 5 CFR part 771 and DOL's implementing regulation. These case files contain all documents related to the grievance including statements of witnesses, reports of interviews and hearings, fact-finder's findings and recommendations, a copy of the original decision, and related correspondence and exhibits. This system does not include files and records of any grievance filed under negotiated procedures with recognized labor organizations.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 CFR part 771.

**PURPOSE(S):**

The records are used to process grievances submitted by bargaining-unit employees for personal relief in a matter of concern or dissatisfaction which is subject to the control of agency management.

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

These records and information in these records may be used:

- a. To disclose information to any source from which additional information is requested in the course of processing a grievance, to the extent necessary to identify the individual, inform the source of the purpose(s) of the request, and identify the type of information requested.
- b. To disclose information to officials of the Merit System Protection Board or the Office of Special Counsel, when requested in connection with appeals, special studies of the civil service and other merit systems, review of DOL rules and regulations, investigations of alleged or possible prohibited personnel practices, and such other functions as may be authorized by law.
- c. To disclose information to the Equal Employment Opportunity Commission when requested in connection with investigations into alleged or possible discrimination practices or examination of affirmative employment programs.
- d. To disclose information to the Federal Labor Relations Authority or its General Counsel when requested in connection with investigations of allegations of unfair labor practices or matters before the Federal Service Impasses Panel.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

Not applicable.

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

**STORAGE:**

Manual file.

**RETRIEVABILITY:**

These records are retrieved by the names of the individuals on whom they are maintained.

**SAFEGUARDS:**

Locked storage equipment.

**RETENTION AND DISPOSAL:**

These records are disposed of 4 years after the closing of the case.

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

Director, Labor Management Relations Center, Human Resources Center, U.S. Department of Labor, 200 Constitution Avenue, NW, Washington, DC 20210.

**NOTIFICATION PROCEDURE:**

Individuals submitting grievances should be provided a copy of the record under the grievance process. They may, however, contact the personnel office where the action was processed, regarding the existence of such records on them. They must furnish the following information for their records to be located and identified:

- a. Name;
- b. Approximate date of closing of the case and kind of action taken, and
- c. Organizational component involved.

**RECORD ACCESS PROCEDURE:**

See Notification Procedure above.

**CONTESTING RECORD PROCEDURE:**

Contact the personnel office where the grievance was processed. Individuals must furnish the following information for their records to be located and identified:

- a. Name;
- b. Approximate date of closing of the case and kind of action taken; and
- c. Organizational component involved.

**RECORDS SOURCE CATEGORIES:**

Information in this system of records is provided by the following:

- a. The individual on whom the record is maintained.
- b. Testimony of witnesses.
- c. Investigative and other employment records.
- d. Decisions by Agency Officials.

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

Not applicable.

**DOL/OASAM-17**

**SYSTEM NAME:**

Equal Employment Opportunity Complaint Files.

**Note:** Records in this system are covered in conjunction with EEOC's government-wide system EEOC/GOVT-1.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

Civil Rights Center, OASAM, U.S. Department of Labor, 200 Constitution Avenue, NW, Washington, DC 20210. The Civil Rights Center maintains the primary system of records. However, Regional Civil Rights Offices maintain copies of complete or partial

investigative reports and correspondence files, as well as settlement agreements and informal complaint forms. A portion of these complaint files are forwarded to and maintained in the Office of the Administrative Review Board (ARB).

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

Individuals, classes of individuals, or representatives designated to act on behalf of employees, former employees, or applicants of the Department who have consulted with an EEO Counselor and/or who have filed a formal complaint alleging discrimination on the basis of race, color, religion, sex, national origin, disability, age, and/or any basis covered by Executive Order 11478, as amended, because of a determination, decision, action, or the non-action administered against them by a departmental official, and individuals alleging reprisal for having previously participated in the EEO process.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Information and/or documents pertaining to pre-complaint processing, informal resolutions, formal allegations of discrimination, and investigations of complaints of discrimination. These records contain complainants' names, addresses, job titles and descriptions, dates of employment; agencies involved; counselor's reports; initial and supplemental allegations; letters and notices to individuals and organizations involved in the processing of the complaint; materials placed into the record to support or refute the alleged decisions; determination or actions taken; statements of witnesses; related correspondence; investigative reports, instructions on actions to be taken in order to comply with the provisions of a decision, opinions, recommendations, settlement agreements, proposed and final decisions.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

Executive Order 11478, as amended; Secretary's Order 2-81 and 3-96; Title VII of the Civil Rights Act of 1964, as amended, 42 U.S.C. 2000e; the Equal Pay Act, as amended, 29 U.S.C. 206(d); the Age Discrimination in Employment Act of 1967, as amended, 29 U.S.C. 621; sections 501, 504 and 508 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. 791, 794(a) and 794(d); the Civil Service Reform Act of 1978, 5 U.S.C. 1101; and 29 CFR part 1614.

**PURPOSE(S):**

These records are used to process, investigate and resolve discrimination complaints within the Department.

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

The records in the complaint file are classified in three categories: Correspondence, investigative, and transcripts. Records that are relevant and necessary may be disclosed:

1. To the responding official (RO) consistent with the instructions in EEOC's Complaint Processing Manual which provides that during the investigative process the responding official shall have access to documents in the correspondence file and the investigative file in which the official is identified and charged with discrimination or other wrong-doing. Names of and identifying information on persons other than the complainant and the RO should be deleted from copies of the documents shown to the RO. If the Department issues a final decision on the complaint rejecting the complainant's allegations against the RO, the RO does not have access to the entire complaint file. If the Department's decision concludes or implies impropriety on the part of the RO, the entire complaint file, with names and identifying information deleted where appropriate, must be made available to the RO. If the Department takes or proposes adverse action or other disciplinary action against the RO, only the records upon which the decision is based, without deletions, must be made available for his or her review.
2. To Federal agencies with jurisdiction over a complaint, including the Equal Employment Opportunity Commission, the Office of Personnel Management, the Merit Systems Protection Board, the Office of Special Counsel, and the Federal Labor Relations Authority, for investigatory, conciliation or enforcement purposes.
3. To a physician or medical official for the purpose of evaluating medical documents in complaints of discrimination on the basis of disability.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

None.

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

**STORAGE:**

Records are maintained in manual and automated files.

**RETRIEVABILITY:**

Manual files are indexed by complainant's name and by the office case number. Automated files are retrieved by: Office case number;

complainant's name; fiscal year; current status of complaint; region code; issue code; basis code; agency code; class action; relief code; EOS identification; Investigator identification.

**SAFEGUARDS:**

Manual records are maintained in secured file cabinets or in restricted areas, access to which is limited to authorized personnel. Automated files are controlled by means of identification numbers and passwords known only to the employees of the Civil Rights Center who are authorized to have access to such files.

**RETENTION AND DISPOSAL:**

Records are retained for a period of four years after the final disposition of a complaint, and then destroyed. An alphabetical record is kept of open complaints by name of the complainant, giving the basis of the complaint, the matter giving rise to the complaint, and the disposition.

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

Director, Civil Rights Center, OASAM, U.S. Department of Labor, 200 Constitution Avenue, NW, Washington, DC 20210.

**NOTIFICATION PROCEDURE:**

Individuals or organizations designated to act on behalf of individuals may write the system manager indicated above regarding the existence of records pertaining to them pursuant to 29 CFR 71.2. The inquirers should provide, as appropriate, their full name, the name of the employing agency and/or the agency in which the situation arose, if different than the employing agency, approximate date of filing complaint, region of complaint, complaint case number, the kind(s) of action(s) taken against them, and a notarized signature, or a notarized letter of consent when a person requests access on behalf of the individual who is the subject of the file.

**RECORD ACCESS PROCEDURES:**

Individuals or organizations designated to act on behalf of an individual wishing to gain access to records covered by the Privacy Act, shall follow the guidelines prescribed by 29 CFR part 71, summarized here under "Notification procedures."

**CONTESTING RECORD PROCEDURES:**

Individuals wishing to contest information in their files may, pursuant to 29 CFR 71.9, shall write the system manager at the specified address above, reasonably identifying the record pertaining to them, the information which is being contested in that record,

the corrective action(s) being sought, and the reasons for the correction(s).

**RECORD SOURCE CATEGORIES:**

Individual to whom the record pertains; official documents relating to the processing of a complaint, the informal and formal allegations, appeals of departmental decisions; and respondent agency officials, employees, and other witnesses.

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

Under the specific exemption provided by 5 U.S.C. 552a(k) (2), this system of records is exempted from the following provisions of the Privacy Act: (c)(3), (d), (e)(1), (e)(4)(G), (H), and (I) and (f). Information from the complaint file may be denied in anticipation of a civil action or proceeding, in instances where premature release of documents could hamper the decision-making process, where the release of personal information about another employee may result in an invasion of personal privacy, and where release of confidential statements could lead to intimidation or harassment of witnesses and impair future investigations by making it more difficult to collect similar information. Personal information about other employees that are contained in the complainant's file because of its use as comparative data such as: Medical records, place and date of birth, age, marital status, home address and telephone numbers, the substance of promotion recommendations, supervisory assessments of professional conduct and ability, may be denied to the subject when it could cause embarrassment and/or harassment to the other employees.

**DOL/OASAM-19**

**SYSTEM NAME:**

Negotiated Grievance Procedure and Unfair Labor Practice Files.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

A. Offices in Washington, DC: Labor Management Relations Center, Human Resources Center (OASAM) and;  
B. OASAM Regional Personnel Offices.

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

DOL employees who have filed grievances under negotiated grievance procedures, and DOL employees who have filed unfair labor practices charges against the Department.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

This system contains a variety of records relating to an employee grievance filed under procedures established by labor-management negotiations and unfair labor practice charges filed under the Federal Service Labor-Management Relations Statute. The Records may include information such as: Employee's name, grade, job title, employment history, arbitrator's decision or report, record of appeal to the Federal Labor Relations Authority, and a variety of employment and personnel records associated with the grievance or charge.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 7121 for grievances, 5 U.S.C. 7116 for unfair labor practices, Federal Service Labor-Management Relations Statute and related amendments of 5 U.S.C. 5596(b) for back pay.

**PURPOSE(S):**

These records are used to process an employee's grievance filed under a negotiated grievance procedure or an unfair labor practice charge filed by an employee or union.

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

These records and information in these records that are relevant and necessary may be used:

a. To disclose information to officials of the Merit System Protection Board or the Office of Special Counsel, when requested in connection with appeals, special studies of the civil service and other merit systems, review of DOL rules and regulations, investigations or alleged or possible prohibited personnel practices, and such other functions as may be authorized by law.

b. To disclose information to the Equal Employment Opportunity Commission when requested in connection with investigations into alleged or possible discrimination practices or examination of affirmative employment programs.

c. To disclose information to the Federal Labor Relations Authority or its General Counsel when requested in connection with investigations of allegations of unfair labor practices or matters before the Federal Service Impasses Panel.

d. To disclose information to the union when requested in connection with the union's representation of the DOL employee who has filed the grievance or unfair labor practice.

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

**STORAGE:**

Manual file.

**RETRIEVABILITY:**

By name and/or case file number.

**SAFEGUARDS:**

Locked room.

**RETENTION AND DISPOSAL:**

Records are destroyed 4 years after the closing of the case.

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

Director, Labor-Management Relations, Human Resources Center, U.S. Department of Labor, 200 Constitution Ave., NW, Washington, DC 20210.

**NOTIFICATION PROCEDURES:**

Contact system manager at above address.

**RECORD ACCESS PROCEDURE:**

Contact system manager at above address.

**CONTESTING RECORD PROCEDURE:**

Contact system manager at above address.

**RECORD SOURCE CATEGORIES:**

Individual employees who have filed grievances and charges, employee/supervisor interviews, investigative and employment records, and findings of arbitrators and other tribunals.

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

Under the specific exemption provided by 5 U.S.C. 552a(k)(2), this system of records is exempted from the following provisions of the Privacy Act: 5 U.S.C. 552a(c)(3), (d), (e)(1), and (e)(4)(G), (H), (I) & (f). Information from the case file may be denied in anticipation of a civil action or proceeding, in instances where premature release of documents could hamper the decision-making process, where the release of personal information about another employee may result in an invasion of personal privacy, and where release of confidential statements could lead to intimidation or harassment of witnesses and impair future investigations by making it more difficult to collect similar information. Personal information about other employees that is contained in the grievant's or charging party's file because of its use as comparative data such as: medical records, place and date of birth, age, marital status, home address and telephone numbers, the substance of

promotion recommendations, supervisory assessments of professional conduct and ability, may be denied to the subject when it could cause embarrassment and/or harassment to the other employees.

**DOL/OASAM-20**

**SYSTEM NAME:**

Personnel Investigation Records.

**SECURITY CLASSIFICATION:**

None for the system. However, items or records within the system may have national defense/foreign policy classifications up through secret.

**SYSTEM LOCATION:**

Assistant Director, Executive Resources and Personnel Security Team (OASAM), U.S. Department of Labor, 200 Constitution Avenue, NW, Washington, DC 20210.

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

- a. Current and former employees or applicants for employment in the Department.
- b. Individuals considered for access to classified information or restricted areas and/or security determinations as contractors, experts, instructors, and consultants to Departmental programs.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Investigative files and investigative index card files which pertain to clearance investigations for Federal employment. These records contain investigative information regarding an individual's character, conduct, and behavior in the community where he or she lives or lived; arrests and convictions for violations against the law; reports of interviews with present and former supervisors, coworkers, associates, educators, etc; reports about the qualifications of an individual for a specific position and files and index cards relating to adjudication matters; reports of inquiries with law enforcement agencies, employers, educational institutions attended; reports or action after OPM or FBI Section 8(d) Full Field Investigation; Notices of Security Investigation; and other information developed from above.

**Note:** This system does not apply to records of a personnel investigative nature that are part of the Office of Personnel Management's (OPM) Privacy Act System OPM/CENTRAL-9, Personnel Investigation Records. Access to or amendment of such records must be obtained from OPM.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

Executive Order 10450.

**PURPOSE(S):**

The purposes of this systems are:

- a. To provide investigatory information for determination concerning compliance with Federal personnel regulations and for individual personnel determinations including suitability and fitness for Federal employment, access and security clearances, evaluations of qualifications, loyalty to the U.S. and evaluations of qualifications and suitability for performance of contractual services for the U.S. Government.

- b. To document such determinations;
- c. To provide information necessary for the scheduling and conduct of the required investigations;

- d. To otherwise comply with mandates and Executive Order; and

These records may also be used to locate individuals for personnel research.

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

These records and information in these records may be used in disclosing relevant and necessary information:

- a. To designated officers and employees of agencies, offices, and other establishments in the executive, legislative, and judicial branches of the Federal Government, and the District of Columbia Government, when such agency, office, or establishment conducts an investigation of the individual for the purpose of granting a security clearance, or for the purpose of making a determination of qualifications, suitability, or loyalty to the United States Government, or access to classified information or restricted areas.

- b. To designated officers and employees of agencies, offices, and other establishments in the executive, legislative, and judicial branches of the Federal Government, and the District of Columbia Government, having the responsibility to grant clearances to make a determination regarding access to classified information or restricted areas, or to evaluate qualifications, suitability, or loyalty to the United States Government, in connection with performance of a service to the Federal Government under a contract or other agreement.

- c. To the intelligence agencies of the Department of Defense, the National Security Agency, the Central Intelligence Agency, and the Federal Bureau of Investigation for use in intelligence activities.

- d. To Federal agencies as a data source for management information through the production of summary

descriptive statistics and analytical studies in support of the functions for maintained or for related studies.

- e. To disclose information to officials of the Merit Systems Protection Board, including the Office of the Special Counsel, when requested in connection with appeals, special studies of the civil service and other merit systems, review of office rules and regulations, investigations of alleged or possible prohibited personnel practices, and such other functions, e.g., as promulgated in 5 U.S.C. 1205 and 1206, or as may be authorized by law.

- f. To disclose information to the Equal Employment Opportunity Commission when requested in connection with investigations into alleged or possible discrimination practices in the Federal sector, examination of Federal affirmative employment programs, compliance by Federal agencies with the Uniform Guideline Employee Selection Procedures, or other functions vested in the Commission by the President's Reorganization Plan No. 1 of 1978.

- g. To disclose information to the Federal Labor Relations Authority or its General Counsel when requested in connection with investigations of allegations of unfair labor practices or matters before the Federal Service Impasses Panel.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

Not applicable.

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

**STORAGE:**

Records are maintained in file folders and on index cards.

**RETRIEVABILITY:**

Records are retrieved by the name of the individual on whom they are maintained.

**SAFEGUARDS:**

Folders are maintained in file cabinets secured by three position combination locks. The index to the system and those records which are maintained on index cards are contained in covered and locked Wheel-dex machines. All employees are required to have an appropriate security clearance before they are allowed access to the records.

**RETENTION AND DISPOSAL:**

- a. Index cards which show the scheduling or completion of an investigation, and investigative files, if any, are retained for 2 years, plus the current year from the date of the most recent investigative activity. Other

index cards which show no investigative record other than the completion of a clear National Agency Check or a clear National Agency Check Inquiry, and where no investigative file folder exists, are retained for two years plus the current year.

b. Reports of action after OPM or FBI section 8(d) background investigation are retained for the life of the investigative file.

c. Notices of Security Investigations are retained for 20 years.

All records are destroyed by burning.

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

Director, Human Resources Services Center, OASAM, U.S. Department of Labor, 200 Constitution Avenue, NW, Washington, DC 20210.

**NOTIFICATION PROCEDURE:**

Individuals wishing to inquire whether this system contains information about them should contact the system manager in writing. Individuals must furnish the following information for their records to be located and identified:

- a. Full name
- b. Date of birth
- c. Signature
- d. Any available information regarding the type of record involved.
- e. The category of covered individuals under which the requester believes he or she fits.

**RECORD ACCESS PROCEDURES:**

Individuals wishing to request access to their records should contact the system manager in writing. Individuals must furnish the following information for their records to be located and identified:

- a. Full name
- b. Date of birth
- c. Signature
- d. Any available information regarding the type of record involved.
- e. The category of covered individuals under which the requester believes he or she fits.

**CONTESTING RECORD PROCEDURES:**

Individuals wishing to request amendment to their non-exempt records should contact the system manager in writing. Individuals must furnish the following information for their records to be located and identified:

- a. Full name
- b. Date of birth
- c. Signature
- d. Any available information regarding the type of record involved.
- e. The category of covered individuals under which the requester believes he or she fits.

**RECORD SOURCE CATEGORIES:**

Information contained in the system was obtained from the following categories of sources:

- a. Applications and other personnel and security forms furnished by the individual;
- b. Investigative and other record material furnished by Federal agencies;
- c. Notices of personnel actions furnished by Federal agencies;
- d. By personal investigation or written inquiry from sources such as employers, educational institutions, references, neighbors, associates, police departments, courts, credit bureaus, medical records, probation officials, prison officials, newspapers, magazines, periodicals, and other publications.

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

This system may contain the following types of information:

- a. Investigatory material compiled solely for the purpose of determining suitability, eligibility, or qualifications for Federal civilian employment. The Privacy Act, at 5 U.S.C. 552a(k)(5), permits an agency to exempt such material from certain provisions of the Act. Materials may be exempted to the extent that release of the material to the individual whom the information is about would:

1. Reveal the identity of a source who furnished information to the Government under an express promise (granted on or after September 27, 1975) that the identity of the source would be in confidence; or

2. Reveal the identity of a source who, prior to September 27, 1975, furnished information to the Government under an implied promise that the identity of the source would be held in confidence.

b. For all the above reasons the Department hereby exempts this system from the following provisions of the Privacy Act: 5 U.S.C. 552a (c)(3), (d), (e)(1), (e)(4)(G), (H) and (I) and (f).

**DOL/OASAM-22**

**SYSTEM NAME:**

Civil Rights Center Discrimination Complaint Case Files.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

Civil Rights Center, OASAM, U.S. Department of Labor, Constitution Avenue, NW., Washington, DC 20210.

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

Individuals, classes of individuals, or representatives designated to act on

behave of individuals filing complaints against recipients of DOL financial assistance, DOL conducted programs, or State or local governments that exercise responsibilities, regulate, or administer services, programs, or activities in all programs, services, and regulatory activities relating to labor and the workforce alleging discrimination on the basis of race, color, national origin, age, disability, sex, religion, citizenship, political affiliation or belief, citizenship, participation in a Workforce Investment Act (WIA) Title-I program or activity, and/or any basis covered by Executive Order 13160, or retaliation for having filed a discrimination complaint, furnishing information, or assisting or participating in any manner in an investigation, hearing or any other activity related to the administration of Federal law requiring equal opportunity.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Complainants' statements of alleged discrimination, respondents' statements, witnesses' statements, names and addresses of complainants and respondents, personal, employment or program participation information, medical records, conciliation and settlement agreements, related correspondence, initial and final determinations, other records related to investigations of discrimination complaints.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

Title VI of the Civil Rights Act of 1964, as amended, 42 U.S.C. 2000d to 2000d-4; secs. 504 and 508(d) of the Rehabilitation Act of 1973, as amended, 29 U.S.C. 794(a) and 794(d); the Age Discrimination Act of 1975, as amended, 42 U.S.C. 6102; Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. 1681; sec. 645-255 of the Social Security Act, 42 U.S.C. 603(a)(5); sec. 167 of the Job Training Partnership Act, as amended, 29 U.S.C. 1577; sec. 188 of the Workforce Investment Act of 1998; 29 U.S.C. 2938, the Americans with Disabilities Act of 1990, 42 U.S.C. 12101 *et seq.*; Executive Order 13160; Secretary's Order 4-2000; 29 CFR parts 31, 32, 33, 34, 36 and 37, and 28 CFR part 35.

**PURPOSE(S):**

To maintain records on individuals who have filed a complaint with, or to investigate and resolve discrimination complaints filed with the Department of Labor against (1) recipients of financial assistance from the Department, (2) Department of Labor conducted programs or activities and (3) components of State and local

governments that exercise responsibilities, regulate, or administer services, programs, or activities in all programs, services, and regulatory activities relating to labor and the workforce.

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

Records that are relevant and necessary may be disclosed:

a. To the Equal Employment Opportunity Commission, Department of Justice, Federal Mediation and Conciliation Service, when relevant to matters within the jurisdiction of those agencies over a complaint, for investigatory, conciliation, enforcement, or litigation purposes.

b. To organizations which are recipients of Federal financial assistance and against whom complaints in an administrative or judicial proceeding are filed to the extent necessary to effectively represent themselves, provided that the privacy of persons not a party to the dispute is protected.

c. To the Equal Employment Opportunity Commission, the Department of Justice, the Department of Health and Human Services, and other Federal entities having responsibility for processing and resolving complaints, coordinating civil rights activities and/or preparing reports to Congress under authorities indicated in this particular notice.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

None.

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

**STORAGE:**

These records are maintained in manual and automated files.

**RETRIEVABILITY:**

These records are retrieved by various combinations of office case numbers, complainant's name, fiscal year, current status of complaint, state, basis code, and program code.

**SAFEGUARDS:**

Manual records are maintained in secured file cabinets or in restricted areas, access to which is limited to authorized personnel. Automated files are controlled by means of identification numbers and passwords.

**RETENTION AND DISPOSAL:**

Manual records are retained for a period of three years after the final disposition of a complaint. They are then retired to the Federal Records

Center for two additional years, and then destroyed. Complaints are maintained in the automated file for two years, after which they are stored on disc or tape for three additional years and then destroyed by shredding.

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

Civil Rights Center, OASAM, U.S. Department of Labor, 200 Constitution Avenue, NW., Washington, DC 20210.

**NOTIFICATION PROCEDURE:**

Pursuant to 29 CFR part 71 individuals requesting information or assistance, or making inquiries regarding the existence of records pertaining to them should write the system manager at the address above. Inquiries should include the name of the inquirer, complaint case number, approximate date of filing, if the case number is unknown, name of respondent, last known status of the complaint, and signature. When a request is submitted by mail, the signature of the requester shall be notarized.

**RECORD ACCESS PROCEDURES:**

An individual or organization representing an individual(s), wishing to gain access to these records shall follow the guidelines set forth under notification procedures summarized above and Departmental regulations at 29 CFR part 71.

**CONTESTING RECORD PROCEDURES:**

Individuals wishing to contest information in their files may, pursuant to 29 CFR part 71, write the system manager at the specified address above, reasonably identifying the record pertaining to them, the information which is being contested in that record, the corrective action(s) being sought, and the reason(s) for the correction(s).

**RECORD SOURCE CATEGORIES:**

Individual complainants; respondent officials, employees, and witnesses; interrogatories; recipient files and records; and physicians' and other medical service providers' records.

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

In accordance with 5 U.S.C. 552a(k)(2), investigatory material in this system of records compiled for law enforcement purposes is exempt from subsections (c)(3); (d); (e)(1); (e)(4)(G), (H), and (I); and (f) of 5 U.S.C. 552a, provided however, that if any individual is denied any right, privilege, or benefit that he or she would otherwise be entitled to by Federal law, or for which he or she would otherwise be eligible, as a result of the

maintenance of these records, such material shall be provided to the individual, except to the extent that the disclosure of such material 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 prior to January 1, 1975, under an implied promise that the identity of the source would be held in confidence.

**DOL/OASAM-23**

**SYSTEM NAME:**

Travel Management Center.

**SECURITY CLASSIFICATION:**

Unclassified.

**SYSTEM LOCATION:**

This system of records is located in the travel agency under contract with this Department and in the administrative offices of Department of Labor component agencies.

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

Individuals for whom travel is being arranged by the contractor.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Records include traveler's profile which contains name of individual, social security number, home and office telephones, agency's name, address, and telephone number, air travel preference, rental car identification number and preference of car, hotel preference, current passport and/or visa number, personal credit card numbers, and additional information; travel authorization and monthly reports from travel agent(s) showing charges to individuals, balances, and other types of account analyses.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

31 U.S.C. 711; interpret or apply 31 U.S.C. 3511, 3512, and 3523.

**PURPOSE(S):**

To assemble in one system information to enable travel agents who are under contract to the Federal Government to issue and account for travel provided to individuals.

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

In addition to the routine uses listed in the general prefatory statement:

a. To disclose information to a credit card company for billing purposes.

b. To disclose information to a Federal agency for accumulating reporting data and monitoring the system.

c. To disclose information to the agency by the contractor in the form of

itemized statements of invoices, and reports of all transactions including refunds and adjustments to enable audits of charges to the Government.

d. To disclose credit card information, phone numbers, addresses, etc., to airlines, hotels, car rentals companies and other travel affiliated companies for the purpose of serving the client.

e. To disclose personal credit card information to hotels and car rental companies for the purpose of guaranteeing reservations.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

None.

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

**STORAGE:**

Paper records in file cabinets. Computer records within a computer and attached equipment.

**RETRIEVABILITY:**

By name and/or social security number of traveler.

**SAFEGUARDS:**

Records stored in lockable file cabinets or secured rooms. Computerized records protected by password system and electronic signaturing. Information released only to authorized officials on a need-to-know basis.

**RETENTION AND DISPOSAL:**

Records kept by the Department and/or the travel agency are held for 3 years and then destroyed.

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

Director, Office of Budget, Office of the Assistant Secretary for Administration and Management, Department of Labor, 200 Constitution Avenue NW, Washington, DC 20210.

**NOTIFICATION PROCEDURE:**

Inquiries should be mailed or presented to the system manager noted at the address listed above.

**RECORD ACCESS PROCEDURES:**

A request for access shall be addressed to the system manager at the address listed above.

**CONTESTING RECORD PROCEDURES:**

A petition for amendment shall be addressed to the System Manager.

**RECORD SOURCE CATEGORIES:**

Individual, employees, travel authorization, credit card companies.

**EXEMPTION FROM CERTAIN PROVISIONS OF THE ACT:**

None.

**DOL/OASAM-24**

**SYSTEM NAME:**

Privacy Act/Freedom of Information Act Requests File System.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

A. Departmental Offices in Washington, DC  
B. Regional offices of the Department.

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

Individuals who have submitted Privacy Act and Freedom Of Information Act requests under (5 U.S.C. 552a and 552).

**CATEGORIES OF RECORDS IN THE SYSTEM:**

This system contains initial requests under the Acts, responses, and related documents.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

The Privacy Act of 1974 (5 U.S.C. 552a); the Freedom of Information Act (5 U.S.C. 552); and 5 U.S.C. 301).

**PURPOSE(S):**

This system of records is maintained for various reasons as follows:

- a. To process individuals' requests made under the Privacy Act and the Freedom of Information Act.
- b. To provide a record of communications between the requester and the agency.
- c. To ensure that all relevant, necessary and accurate data are available to support any process for appeal.
- d. To provide a legal document to support any process for appeal.
- e. To prepare the annual reports to OMB and Congress as required by the Privacy and Freedom of Information Acts.

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

- These records, and information in these records, may be used:
- a. To disclose information to the Office of Management and Budget at any stage in the legislative coordination and clearance process in connection with private relief legislation as set forth in OMB Circular No. A-19.
  - b. To disclose information to Federal agencies (e.g., Department of Justice) in order to obtain advice and recommendation concerning matters on which the agency has specialized experience or particular competence, for use in making required determinations under the Freedom of Information Act or the Privacy Act of 1974.

c. To disclose information to any source from which additional information is requested (to the extent necessary to identify the individual, inform the source of the purpose of the request, and to identify the type of information requested), where necessary to obtain information relevant to a decision concerning a Privacy Act, Freedom of Information Act request.

d. To disclose information to another Federal agency, to a court, or a party in litigation before a court or in an administrative proceeding being conducted by a Federal agency, either when the Government is a party to a judicial proceeding or in order to comply with the issuance of a subpoena.

e. To disclose, in response to a request for discovery or for appearance of a witness, information that is relevant to the subject matter involved in a pending judicial or administrative proceeding.

f. To disclose information to officials of the Merit Systems Protection Board, including the Office of the Special Counsel, when requested in connection with appeals, special studies of the civil service and other merit systems, review of Office rules and regulation, investigations of alleged or possible prohibited personnel practices, and such other functions, e.g., as prescribed in 5 U.S.C. 1205 and 1206, or as may be authorized by law.

g. To disclose information to the Equal Employment Opportunity Commission when requested in connection with investigations into alleged or possible discrimination complaints in the Federal sector, examination of Federal Affirmative employment programs, compliance by Federal agencies with the Uniform Guidelines on Employee Selection Procedures, or other functions vested in the Commission by the President's Reorganization Plan No. 1 of 1978.

h. To disclose information to the Federal Labor Relations Authority or its General Counsel when requested in connection with investigations of allegations of unfair labor practices or matters before the Federal Service Impasses Panel.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

None.

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

**STORAGE:**

These records are maintained in file folders.

**RETRIEVABILITY:**

These records are retrieved by name of individual making request and by date of request.

**SAFEGUARDS:**

These records are located in lockable metal filing cabinets with access limited to personnel whose duties require access.

**RETENTION AND DISPOSAL:**

Destroyed two years after response date if no denial was involved.  
Destroyed five years after response date if denial of records was involved. If there is an appeal to the Solicitor of Labor, the records are destroyed six years after final agency determination or 3 years after final court adjudication, whichever is later.

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

Head of agencies or component units within the Department who have custody of the records. (See the appropriate Agency Official in the listing in the Appendix to this document.

**NOTIFICATION PROCEDURE:**

Individuals wishing to inquire whether this system of records contains information about them should contact the system manager at the appropriate office or region where their original Privacy Act or Freedom of Information Act request was sent, or where they received responses to such requests.

**RECORD ACCESS PROCEDURE:**

A request for access shall be addressed to each facility to which the requester has submitted a Freedom of Information Act or Privacy Act request.

**Note:** Individuals must furnish the following information for their records to be located and identified:

- a. Name
- b. Approximate dates of Privacy Act/FOIA Act correspondence between the Department of Labor and the individual.

**CONTESTING RECORD PROCEDURES:**

A petition for amendment shall be addressed to the System Manager listed above.

**RECORD SOURCE CATEGORIES:**

Information in this system of records comes from: The individual requester; official documents, agency officials, and other Federal agencies.

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

The Department of Labor has claimed exemptions from several of its other systems of records under 5 U.S.C. 552a(k) (1), (2), (3), (5), and (6). During the course of a PA/FOIA action, exempt

materials from those other systems may become part of the case record in this system. To the extent that copies of exempt records from those other systems are entered into these PA/FOIA case records, the Department has claimed the same exemptions for the records as they have in the original primary system of records of which they are a part.

**DOL/OASAM-25****SYSTEM NAME:**

Intergovernmental Personnel Act Assignment Records.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

- A. In Washington, DC: OASAM, Human Resources Center
- B. OASAM Regional Personnel Offices.

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

Current or former State or local government agency or educational institution employees, employees of Indian tribal governments, or other organizations who have completed or are presently on an assignment in a DOL agency under the provisions of IPA.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

These records consist of a copy of the individual's IPA agreement between a DOL agency and a State or local government, educational institution, Indian tribal government, or other organization; biographical and background information about the assignees.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

The Intergovernmental Personnel Act of 1970. (5 U.S.C. 3371 through 3376).

**PURPOSE(S):**

These records are maintained to document and track mobility assignments under IPA.

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

None, except for those universal routine uses listed in the General Prefatory Statement to this document.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

Not applicable.

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

Records are maintained in file folders.

**RETRIEVABILITY:**

By the name of the individual.

**SAFEGUARDS:**

Files are maintained in an area with limited access.

**RETENTION AND DISPOSAL:**

Records are retained for a period of three years following the completion of the assignment.

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

Director, Human Resource Services Center, U.S. Department of Labor, 200 Constitution Avenue, NW, Washington, DC 20210.

**NOTIFICATION PROCEDURE:**

Individuals wanting to inquire whether this system contains information about them should contact the servicing personnel office.

**RECORD ACCESS PROCEDURES:**

Contact the servicing personnel office.

**CONTESTING RECORD PROCEDURES:**

Contact the servicing personnel office.

**RECORDS SOURCE CATEGORIES:**

Information provided by the assignee and by officials in DOL agencies, State and local governments, educational institutions, Indian tribal governments and other organizations where the assignee is employed.

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

Not applicable.

**DOL/OASAM-26****SYSTEM NAME:**

Frances Perkins Building Parking Management System.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

Office of Facilities Management, Frances Perkins Building, 200 Constitution Avenue, NW, Washington, DC 20210.

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

All individuals assigned or applying for assignment of parking privileges in the Frances Perkins Building, Washington, DC.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

This system includes: name, office building and room number, office telephone number, employing agency, home address, federal service computation date, handicap certification, automobile license number, make and year of car, permit

numbers (if assigned parking privileges), category of assignment, and office location in/out of zone of special consideration.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**  
5 U.S.C. 301.

**PURPOSE(S):**

To maintain records on individuals who are assigned or applying for assignment of parking privileges in the Frances Perkins Building.

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

Disclosure of information may be made to other government agencies to compare names of car pool members. (For verification, the names of car pool members, their office telephone number and permit numbers will be displayed within the Frances Perkins Building.) Applications for disabled parking shall be disclosed to the PHS for medical review and approval. The names of car pool members, permit number, agency and office telephone numbers will be provided to the management contractor for the sale of permits.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**  
None.

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

**STORAGE:**

Manual files are stored in a local, three drawer file cabinet. Computer records are stored in a personal computer with a password control.

**RETRIEVABILITY:**

Records are filed and retrieved by name or permit number.

**SAFEGUARDS:**

Access to and use of these records is limited to personnel whose official duties require access. Automated data in personal computer are password protected. Written application data are placed in file cabinets.

**RETENTION AND DISPOSAL:**

Records are retained while the assignments are current and are destroyed after the completion of each parking reallocation cycle.

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

Director, Office of Facilities Management, U.S. Department of Labor, 200 Constitution Avenue, NW, Washington, DC 20210.

**NOTIFICATION PROCEDURE:**

Access to these records may be obtained by request in writing to:

Director, Office of Facilities Management, 200 Constitution Avenue, NW, Washington, DC 20210.

**RECORD ACCESS PROCEDURE:**

Individuals wishing to request access to records should contact the appropriate office listed in the notification procedure section. Individuals must furnish the name or permit number for the record they wish to access.

**CONTESTING RECORDS PROCEDURES:**

Individuals wishing to request amendment of the records should contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested.

**RECORDS SOURCE CATEGORIES:**

Information comes from the individuals to whom the information pertains. Also, other government agencies may provide information to the Department.

**SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:**  
None.

**DOL/OASAM-27**

**SYSTEM NAME:**

Employee/Contractor Identification Program.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

U.S. Department of Labor, Office of the Assistant Secretary for Administration and Management (OASAM), Business Operations Center (BOC), Administrative Services Center (ASC), Customer Service, 200 Constitution Avenue, NW, Washington, DC 20210.

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

Individual DOL employees and individual employees of contractors doing business with DOL.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Records which contain individual identifiers plus a photographic image of DOL employees and DOL contract employees.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**  
5 U.S.C. 301.

**PURPOSE(S):**

To maintain records on the identification of persons to be rightfully admitted to DOL facilities.

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

None, except for those universal routine uses listed in the General Prefatory Statement to this document.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

None.

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

**STORAGE:**

Automated records are stored on the hard drive of a computer and manual records are stored in a secure file cabinet.

**RETENTION AND DISPOSAL:**

Records are maintained indefinitely.

**RETRIEVABILITY:**

Records are retrieved by the employee's or contractor's last name or social security number and agency.

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

Director, Customer Service, OASAM, U.S. Department of Labor, 200 Constitution Avenue, NW, Washington, DC 20210.

**NOTIFICATION PROCEDURE:**

Individuals wishing to inquire whether this system of records contains information about them should contact the system manager indicated above.

**RECORD ACCESS PROCEDURE:**

Individuals requesting access must comply with Privacy Act regulations on verification of identity and access to records. (See 29 CFR part 71.)

**CONTESTING RECORD PROCEDURE:**

Same as notification procedure above, except individuals desiring to contest or amend information maintained in the system should direct their written request to the system manager listed above, and state clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

**RECORD SOURCE CATEGORIES:**

Individual DOL employees and individual employees of contractors doing business with DOL.

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

None.

**DOL/OASAM-28**

**SYSTEM NAME:**

Incident Report/Restriction Notice.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

U.S. Department of Labor, Office of the Assistant Secretary for Administration and Management (OASAM), Business Operations Center (BOC), Office of Facilities Management (OFM), Division of Security, 200 Constitution Avenue NW, Washington, DC 20210.

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

Complainants, Witnesses and Suspects.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Records which contain information on incidents that occurred in the Frances Perkins Building. Information includes name, agency and date of incident.

**AUTHORITY OF MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301.

**PURPOSE(S):**

Records provide a means of identifying security problems thereby making it possible to better utilize security resources.

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

None, except for those universal routine uses listed in the General Prefatory Statement to this document.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

None.

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

Manual files in a cabinet housed in a secured room.

**RETENTION AND DISPOSAL:**

Records are maintained seven years, at which time they are destroyed.

**RETRIEVABILITY:**

Records are filed and retrieved by names.

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

Chief, Division of Security and Emergency Preparedness, U.S. Department of Labor, OASAM/ BOC/ OFM, 200 constitution Avenue, NW, Washington, DC 20210.

**NOTIFICATION PROCEDURE:**

Individuals wishing to inquire whether this system of records contains information about them should contact the system manager indicated above.

**RECORD ACCESS PROCEDURE:**

Individuals wishing to request access to information about them should contact the system manager indicated above.

**CONTESTING RECORD PROCEDURE:**

Same as notification procedure above, except individuals desiring to contest or amend information maintained in the system should direct their written request to the system manager listed above, and state clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought.

**RECORD SOURCE CATEGORIES:**

Sources of information contained in this system are from individuals, DOL records, Federal Protective Service records and FBI records.

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

None.

**DOL/OASAM-29****SYSTEM NAME:**

OASAM Employee Administrative Investigation File.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

Offices within the Office of the Assistant Secretary for Administration and Management at the National Office and in each of the Regional Offices in addition to all OASAM client agencies in the National Office and in the regions.

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

OASAM employees and the Business Operations Center client agency personnel against whom allegations of misconduct have been made.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Investigative report(s), sworn affidavits, written statements, time and attendance records, earnings and leave statements, applications for leave, notifications of personnel actions, travel vouchers, 171's, certificates of eligible, performance appraisals, interviews and other data gathered from involved parties and organizations which are associated with the case.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301.

**PURPOSE(S):**

To maintain records on investigations of allegations of misconduct.

**ROUTINE USE OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSE OF SUCH USERS:**

None, except for those universal routine uses listed in the General Prefatory Statement to this document.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

None.

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

Records are stored in file cabinets.

**RETRIEVABILITY:**

By name or case file number.

**SAFEGUARDS:**

Files are maintained in locked file cabinets with access only to those with a need to know the information to perform their duties.

**RETENTION AND DISPOSAL:**

Records are retained for four years following the date either: (a) They are referred to the OIG; (b) they are transferred to OPM/GOVT-3 Records of Adverse Actions and Actions Based on Unacceptable Performance; or (c) it is determined that the allegation was without sufficient merit to warrant further action, after which they are destroyed by burning.

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

Director, Human Resources Services Center, 200 Constitution Avenue, NW., Washington, DC 20210, and appropriate Regional Personnel Officers.

**NOTIFICATION PROCEDURE:**

Inquiries should be mailed or presented to the system manager noted at the address listed above.

**RECORDS ACCESS PROCEDURES:**

A request for access shall be addressed to the system manager at the address listed above. Individuals must furnish the following information for their records to be located and identified: Name; approximate date of the investigation.

**CONTESTING RECORD PROCEDURES:**

A petition for amendment shall be addressed to the System Manager and must meet the requirements of 29 CFR Part 71.

**RECORD SOURCE CATEGORIES:**

Hotline complaints through the Office of the Inspector General's hotline or through the General Accounting Office; incident reports submitted by employees or members of the general public; statements by subject and fellow

employees; and other investigative reports.

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

In accordance with 5 U.S.C. 552a(k)(2), investigatory material in this system of records compiled for law enforcement purposes is exempt from subsections (c)(3); (d); (e)(1); (e)(4)(G), (H), and (I); and (f) of 5 U.S.C. 552a, provided however, that if any individual is denied any right, privilege, or benefit that he or she would otherwise be entitled to by Federal law, or for which he or she would otherwise be eligible, as a result of the maintenance of these records, such material shall be provided to the individual, except to the extent that the disclosure of such material 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 prior to January 1, 1975, under an implied promise that the identity of the source would be held in confidence.

**DOL/OASAM-30**

**SYSTEM NAME:**

Injury Compensation System (ICS).

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

A. Offices in Washington, DC: Safety and Health Center, OASAM, and  
B. OASAM Regional Personnel Offices.

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

Current/former employees of the Department of Labor and current/former Job Corps Center students who file, or who have filed on their behalf, workers' compensation claims for traumatic injury, occupational disease, recurrence of disability, and death.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

This system contains information relating to a DOL employee's/Job Corps Center student's claim for compensation filed under procedures established by the Office of Worker's Compensation Programs.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

Federal Employees' Compensation Act, as amended (codified in 5 U.S.C. 8101 *et seq.*), and to related regulations in Title 20, Code of Federal Regulations (CFR), part 10; The Occupational Safety and Health Act of 1970 (Pub. L. 91-596), Executive Order 12196; Occupational Safety and Health Programs for Federal Employees, and 29 CFR part 1960.

**PURPOSE(S):**

The records are used as a reference, by agency officials, to track and monitor DOL employees and/or Job Corps Center students who receive continuation of pay and/or FECA compensation benefits.

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

None, except for those universal routine uses listed in the General Prefatory Statement to this document.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

None.

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

**STORAGE:**

Records are maintained in manual and automated files.

**RETRIEVABILITY:**

Manual files are indexed by agency/region. Automated files are retrieved by: Agency/region code, case number, claimant's name, fiscal year.

**SAFEGUARDS:**

Manual files are maintained in locked file cabinets under supervision of Office of Safety and Health personnel. Confidential passwords are required for access to automated records.

**RETENTION AND DISPOSAL:**

Records are maintained in the ICS system for 5 years.

**SYSTEM MANAGER(S) ADDRESS:**

Director, Office of Safety and Health, U.S. Department of Labor, 200 Constitution Avenue, NW., Washington, DC 20210.

**NOTIFICATION PROCEDURE:**

Requests, including name, date of injury, agency name, and case file number, if known, should be addressed to the system manager listed above, at the office where the record is located.

**RECORD ACCESS PROCEDURES:**

A request for access shall be addressed to the system manager at the address listed above. Individuals must furnish the following information for their records to be located and identified:

a. Name and address.

**CONTESTING RECORD PROCEDURES:**

Not applicable.

**RECORD SOURCE CATEGORIES:**

Records in this system contain information extracted from OWCP/ payroll data files/tapes.

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

None.

**DOL/OASAM-31**

**SYSTEM NAME:**

DOL Flexible Workplace (Flexiplace) Programs Evaluation and Files.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

DOL/OASAM/Office of Human Resources, Office of Human Resource Systems and with each employee's supervisor.

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

DOL participants in Flexiplace Programs.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Records in the system include program participants, position title and grade, office location, and address of alternate work site. Records, also include survey information obtained during the individual's participation.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301.

**PURPOSE(S):**

These records are used for statistical reporting and evaluation of the DOL Flexiplace Program, and are not used in any way for making any determination about an identifiable individual.

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

None, except for those universal routine uses listed in the General Prefatory Statement to this document.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

None.

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

**STORAGE:**

Records are maintained in manual files and on computer disks.

**RETRIEVABILITY:**

Records are retrieved by individual(s) name(s).

**SAFEGUARDS:**

Records are maintained on secure computer systems and can only be retrieved with the proper access code. Access to the manual files is limited to authorized users.

**RETENTION AND DISPOSAL:**

The database will be retained without individual identifiers (which will be

deleted from the files) for statistical purposes only.

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

U.S. Department of Labor, Office of the Assistant Secretary for Administration and Management, Office of Human Resources, Office of Human Resource Systems, Frances Perkins Building, 200 Constitution Avenue, NW., Washington, DC 20210.

**NOTIFICATION PROCEDURE:**

Individuals wishing to inquire whether this system of records contains information about them should contact the systems manager listed above. Individuals must furnish the following information for their records to be located and identified: Name, GS grade and series, organizational unit.

**RECORDS ACCESS PROCEDURES:**

Individuals wishing to request access to records pertaining to them should contact the systems manager. Individuals must furnish the following information for their records to be located and identified: Name, GS grade and series, organizational unit.

**CONTESTING RECORD PROCEDURE:**

Individuals wishing to contest information in their files may write to the system manager at the specified address above, reasonably identify the records pertaining to them, the information which is being contested in those records, the corrective action(s) being sought, and the reasons for the correction(s).

**RECORD SOURCE CATEGORIES:**

Individual participants and their supervisors.

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

Not applicable.

**DOL/OASAM-32****SYSTEM NAME:**

Transit Subsidy Management System.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

U.S. Department of Labor, Financial Management Services Center, Office of the Assistant Secretary for Administration and Management (OASAM), 200 Constitution Avenue, NW, Washington, DC 20210.

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

All DOL employees who apply for Transit Subsidy benefits.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Records contain information on DOL employees, such as name, social security number, organization (code), office location, and employment status.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301.

**PURPOSE(S):**

To maintain records on the Transit Subsidy Program.

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

None, except for those universal routine uses listed in the General Prefatory Statement to this document.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

None.

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

Manual files are retained by the Financial Management Services Center, in a file cabinet. Computer records are stored in a database server located in a secure area accessible only by encoded security cards. Machine readable version of the records is kept in a secure microcomputer (server) database.

**RETRIEVABILITY:**

Records are filed and retrieved by name or Social Security Number.

**SAFEGUARDS:**

Records can be accessed only through the use of passwords given to authorized DOL employees by the Database Administrator on a need to know basis.

**RETENTION AND DISPOSAL:**

Records are retained for three years and then destroyed.

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

Director, Business Operations Center, OASAM, U.S. Department of Labor, 200 Constitution Avenue, NW., Washington DC, 20210.

**NOTIFICATION PROCEDURES:**

Inquiries should be mailed or presented to the system manager noted at the address listed above.

**RECORD ACCESS PROCEDURES**

A request for access shall be addressed to the system manager at the address listed above.

**CONTESTING RECORDS PROCEDURES:**

A petition for amendments shall be addressed to the System Manager and

must meet the requirements of the DOL Privacy Act regulations at 29 CFR 71.

**RECORD SOURCE CATEGORIES:**

Information contained in this system is from the DOL Payroll System and the applicant.

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

None.

**DOL/OASAM-33****SYSTEM NAME:**

Entity Database.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

U.S. Department of Labor, Office of the Assistant Secretary for Administration and Management (OASAM), Information Technology Center (ITC), 200 Constitution Avenue, NW., Washington, DC 20210.

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

DOL employees and contract employees.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Records contain information on DOL employees, such as name, social security number, organization (code), pay plan, series, title, address, badge number, agency, cost center, phone number.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301.

**PURPOSE(S):**

The data is used to complete applications, personnel and administrative forms, and provide input to various small systems used in administration and management of DOL employees.

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

None, except for those universal routine uses listed in the General Prefatory Statement to this document.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

None.

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

Computer records are stored in a database server located in a secure area accessible only by encoded security cards. Access to records, forms, applications, processes, and information

is controlled by System Managers. The Entity database is not accessible by any individual user. Machine readable version of the records are kept in a secure microcomputer (server) database.

**RETRIEVABILITY:**

Specific records may be retrieved by name, SSN, organization, grade.

**SAFEGUARDS:**

Records are protected at both the machine (server) level and data level. Records can be accessed only through the use of passwords given to authorized DOL employees by the Database Administrator on a need to know basis. Access to specific data elements is further controlled by a need to know basis.

**RETENTION AND DISPOSAL:**

The data is updated daily or on an as required basis. Earlier data are overwritten.

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

Director, Information Technology Center, OASAM, U.S. Department of Labor, 200 Constitution Avenue, NW., Washington DC 20210.

**NOTIFICATION PROCEDURES:**

Inquiries should be mailed or presented to the system manager noted at the address listed above.

**RECORD ACCESS PROCEDURES**

A request for access shall be addressed to the appropriate system manager listed above.

**CONTESTING RECORDS PROCEDURES:**

A petition for amendments shall be addressed to the System Manager and must meet the requirements of the DOL Privacy Act regulation at 29 CFR part 71.

**RECORD SOURCE CATEGORIES:**

Information contained in this system is obtained from the DOL Payroll System and information supplied by the applicant.

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

None.

**DOL/OASAM-34****SYSTEM NAME:**

DOL Fitness Association (DOLFA) Membership Files.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

Fitness Center, U.S. Department of Labor, 200 Constitution Avenue, NW, Washington, DC 20210.

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

DOLFA members.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Records contain information on members, such as name, medical information required with a membership application, and attendance records.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301.

**PURPOSE(S):**

Records are used to determine eligibility for membership, emergency contact numbers, and statistical utilization of the Fitness Center.

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

Non-medical information collected from applicants for DOLFA membership shall be subject to those universal routine uses listed in the General Prefatory Statement to this document. In addition, relevant and necessary non-medical information may be disclosed to the current members of the DOLFA Board of Directors, and to the professional fitness specialists employed by DOLFA in the performance of their responsibilities. Medical information collected from applicants for DOLFA membership may be disclosed to the professional fitness specialists employed by DOLFA in the performance of their responsibilities.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

None.

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

Records are maintained in locking file cabinets, and in computer files.

**RETRIEVABILITY:**

Records may be retrieved by name.

**SAFEGUARDS:**

Records can be accessed only during normal business hours and are maintained in a locked room at all other times. Access is limited to personnel (including current members of the DOLFA Board of Directors) who are directly responsible for the management and/or operation of the Frances Perkins Building Fitness Center. Such access and use must be in accordance with the provisions of the Privacy Act.

**RETENTION AND DISPOSAL:**

Records are destroyed five years after a member terminates membership in DOLFA.

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

Team Leader, Health and Fitness Team, Safety and Health Center, U.S. Department of Labor, 200 Constitution Avenue, NW., Washington DC 20210.

**NOTIFICATION PROCEDURES:**

An individual wishing to inquire whether this system of records contains information about him/her should submit a written request to the system manager, stating that the request is being made pursuant to the Privacy Act, and including: His/her full name, any former name, if applicable, home address, and approximate dates of membership in DOLFA, and DOLFA membership number, date and place of birth, and signature.

**RECORD ACCESS PROCEDURES:**

Follow the steps described above.

**CONTESTING RECORDS PROCEDURES:**

The written request for an amendment should include the following: The precise identification of the records to be amended; the identification of the specific material to be deleted, added, or changed; and a statement of reasons for the request, including all available material substantiating the request. Requests for amendment of records should include the words "Privacy Act Amendment Request" on both the envelope and at the top of the request letter.

**RECORD SOURCE CATEGORIES:**

Members.

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

None.

**DOL/OASAM-35****SYSTEM NAME:**

DOL Child Care Subsidy Program Records.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

DOL/OASAM/Worklife Center.

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

Employees of the Department of Labor who apply for child care subsidies.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Application forms for the child care subsidy containing personal information, including employee (parent) name, grade, home and work addresses, telephone numbers, total family income, sources and amounts of State/County/Local subsidies, names of children on whose behalf the parent is

applying for the child care subsidy, children's Social Security Numbers, children's dates of birth; information on child care providers used, including name, address, provider license number and State where issued, tuition cost, and provider tax identification number; and copies of earnings and leave statements and IRS Form 1040 and 1040A for verification purposes.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

Pub. L. 106-58, sec. 643 and E.O. 9397.

**PURPOSE(S):**

To establish and verify DOL employees' eligibility for child care subsidies in order for DOL to provide monetary assistance to its employees.

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

None, except for those universal routine uses set forth in the General Prefatory Statement to this document.

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

Information may be collected on paper or electronically and may be stored as paper forms or on computers.

**RETRIEVABILITY:**

By name.

**SAFEGUARDS:**

When not in use by an authorized person, paper records are stored in lockable file cabinets or secured rooms. Electronic records are protected by the use of passwords.

**RETENTION AND DISPOSAL:**

Records are destroyed after three years.

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

U.S. Department of Labor, Office of the Assistant Secretary for Administration and Management, Human Resources Center, Worklife Center, Frances Perkins Building, 200 Constitution Avenue, NW, Washington, DC 20210.

**NOTIFICATION PROCEDURE:**

Individuals wishing to inquire whether this system of records contains information about them should contact the system manager listed above. Individuals must furnish their full name and address.

**RECORDS ACCESS PROCEDURE:**

Individuals wishing to request access to records pertaining to them should contact the system manager.

**CONTESTING RECORD PROCEDURE:**

Individuals wishing to contest information in their files may write to the system manager at the address above, reasonably identify the records pertaining to them, the information that is being contested in those records, the corrective action(s) being sought, and the reasons for the correction(s).

**RECORD SOURCE CATEGORIES:**

DOL employees who apply for the child care subsidy program.

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

None.

**DOL/OASAM-36****SYSTEM NAME:**

PeoplePower.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

U.S. Department of Labor, Office of the Assistant Secretary for Administration and Management (OASAM), People Power Team, 200 Constitution Avenue, NW., Washington, DC 20210.

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

DOL employees.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Records contain information on DOL employees, such as name, social security number, organization (code), pay plan, series, title, address, badge number, agency, cost center, phone number, and benefits data, and information necessary to produce reports required by OPM and DOL. Also, it contains records of training received by individual employees for cost or no cost training. In addition, the records contain internal reports submitted to prepare Departmental budget and employment reports. These reports include information such as job title, grade, location, name and social security number.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301.

**PURPOSE(S):**

The data is used to produce official personnel actions notifications (SF-50, SF-52), and to store and provide access to current and historical human resource information for all of the Department's employees. A further purpose is to administer training, to manage budgets with regard to employee positions, to produce analytical reports, and to automate

workflow within the human resources offices.

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

None, except for those universal routine uses listed in the General Prefatory Statement to this document.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

None.

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

Computer records are stored in a database server located in a secure area accessible only by encoded security cards. Access to records, forms, applications, processes, and information is controlled by System Manager. Machine readable version of the records are kept in a secure microcomputer (server) database.

**RETRIEVABILITY:**

Specific records may be retrieved by name, organization, grade.

**SAFEGUARDS:**

Records are protected at both the machine (server) level and data level. Records can be accessed only through the use of passwords given to authorized DOL employees by the Database Administrator on a need to know basis. Access to specific data elements is further controlled by a need to know basis. Each component's database is only accessible by that component's responsible personnel office in either the national or regional office. Likewise, the 9 DOL budget offices in the national office, in conjunction with the 14 nationwide human resources offices, can access their own component agency's database.

**RETENTION AND DISPOSAL:**

Records may be retained indefinitely as a basis for longitudinal work history statistical studies. Other records are retained for varying periods of time in accordance with the National Archives and Records Administration records schedule.

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

Project Director, People Power Team, OASAM, U.S. Department of Labor, 200 Constitution Avenue, NW., Washington DC, 20210.

**NOTIFICATION PROCEDURES:**

Inquiries should be mailed or presented to the system manager noted at the address listed above.

**RECORD ACCESS PROCEDURES:**

A request for access shall be addressed to the system manager listed above.

**CONTESTING RECORDS PROCEDURES:**

A petition for amendments shall be addressed to the System Manager and must meet the requirements of the DOL Privacy Act regulation at 29 CFR part 71.

**RECORD SOURCE CATEGORIES:**

Information contained in this system is obtained from the DOL Payroll System and information supplied by the applicant.

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

None.

**DOL/OALJ-1****SYSTEM NAME:**

Office of Administrative Law Judges Case Tracking System (CTS).

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

U.S. Department of Labor, Office of Administrative Law Judges (OALJ), 800 K St., NW., Washington, DC 20001.

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

Claimants, complainants, respondents, and other party litigants in cases before the OALJ for hearing and decision.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Records that contain information and pertinent data gathered from case files and court filings, necessary to hear and decide cases.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

Administrative Procedure Act, 5 U.S.C. 553, 554, 556, 557, 571 et seq.; Age Discrimination Act of 1975, 42 U.S.C. 6103; 29 CFR part 34; Americans with Disabilities Act of 1990, 42 U.S.C. 12101 et seq.; 29 CFR part 34; Title VI of the Civil Rights Act of 1964, 42 U.S.C. 2000d-1; 29 CFR part 31; Clean Air Act, 42 U.S.C. 7622; 29 CFR part 24; Comprehensive Employment and Training Act, 29 U.S.C. 801-999 (Supp. V 1981); 20 CFR part 676 (1990); Comprehensive Environmental Response, Compensation and Liability Act of 1980, 42 U.S.C. 9610; 29 CFR part 24; Contract Disputes Act, 41 U.S.C. 601 et seq.; 41 CFR part 29-60; 48 CFR 2933.203.70; Contract Work Hours and Safety Standards Act, 40 U.S.C. 327 et seq.; 29 CFR part 6; Copeland Act, 40 U.S.C. 276c; 29 CFR part 6; Davis-Bacon

Act, as amended, 40 U.S.C. 276a-276a-7; 29 CFR part 6; Debt Collection Act of 1982, 31 U.S.C. 3711(f); 29 CFR part 20; Title IX of the Education Amendments of 1972, 20 U.S.C. 1682; 29 CFR part 34; Employee Polygraph Protection Act of 1988, 29 U.S.C. 2005; 29 CFR part 801, subpart E; Employee Retirement Income Security Act of 1974, 29 U.S.C. 1132 and 1135; 29 CFR parts 2560 and 2570; Energy Reorganization Act of 1974, as amended, 42 U.S.C. 5851; 29 CFR part 24; Equal Access to Justice Act, 5 U.S.C. 504; 29 CFR part 16; Executive Order No. 11,246, as amended, 3 CFR 339 (1964-1965 Comp.); reprinted in 42 U.S.C. 2000e app.; 41 CFR parts 60-1 and 60-30; Fair Labor Standards Act of 1938, as amended, 29 U.S.C. 211(d); 29 CFR part 530, subpart E; Fair Labor Standards Act of 1938, as amended, 29 U.S.C. 214(c); 29 CFR part 525; Fair Labor Standards Act of 1938, as amended, 29 U.S.C. 216(e); 29 CFR part 580; Title IV of the Federal Mine Safety and Health Act of 1977, as amended, 33 U.S.C. 901 et seq.; 20 CFR parts 410, 718, 725 and 727; Federal Unemployment Tax Act, 26 U.S.C. 3303(b)(3), 3304(c); Federal Unemployment Tax Act (addressing agreements under the Trade Act of 1974, as amended), 26 U.S.C. 3302(c)(3); 20 CFR part 617; Federal Water Pollution Control Act, 33 U.S.C. 1367; 29 CFR part 24; Immigration and Nationality Act, as amended, 8 U.S.C. 1101(a)(15)(H), 1184 and 1186; 29 CFR part 501, subpart C; Immigration and Nationality Act, as amended, 8 U.S.C. 1101(a)(15)(H), 1182, 1184, 1188, 1288(c); 20 CFR part 655; Immigration and Nationality Act, as amended, 8 U.S.C. 1182(a)(5)(A); 20 CFR part 656; Job Training Partnership Act, 29 U.S.C. 1576; 20 CFR part 627; Labor-Management Reporting & Disclosure Act of 1959, 5 U.S.C. 7120; 29 CFR part 458; Longshore and Harbor Workers' Compensation Act, 33 U.S.C. 901 et seq. (and its extensions Defense Base Act, Outer Continental Shelf Lands Act, District of Columbia Workmen's Compensation Act, 36 DC Code 501 et seq.; Nonappropriated Fund Instrumentalities Act); 20 CFR parts 701, 702 and 704; McNamara-O'Hara Service Contract Act, as amended, 41 U.S.C. 351 et seq.; 29 CFR part 6; Migrant and Seasonal Agricultural Worker Protection Act, 29 U.S.C. 1813, 1853; 29 CFR part 500, subpart F; National Apprenticeship Act, 29 U.S.C. 50; 29 CFR parts 29 and 30; Program Fraud Civil Remedies Act of 1986, 31 U.S.C. 3803; 29 CFR part 22; sec. 503 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. 793; 41 CFR part 60-741, subpart B; sec. 504 of the

Rehabilitation Act of 1973, as amended, 29 U.S.C. 794; 29 CFR part 32; Reorganization Plan No. 14 of 1950; and 29 CFR part 6; Rules of Practice and Procedure for Administrative Hearings Before the Office of Administrative Law Judges, 29 CFR part 18; Safe Drinking Water Act, 42 U.S.C. 300j-9(i); 29 CFR part 24; Single Audit Act of 1984, 31 U.S.C. 7505; OMB Circular Nos. A-128 and A-110; 29 CFR part 96, subpart 96.6; Social Security Act, 42 U.S.C. 503; 20 CFR part 601; Solid Waste Disposal Act, 42 U.S.C. 6971; 29 CFR part 24; Surface Transportation Assistance Act, 49 U.S.C. 31105; 29 CFR part 1978; Toxic Substances Control Act, 15 U.S.C. 2622; 29 CFR part 24; Vietnam Era Veterans Readjustment Assistance Act, as amended, 38 U.S.C. 4211, 4212; 41 CFR part 60-250, subpart B; Wagner-Peyser Act, as amended, 29 U.S.C. 49 et seq.; 20 CFR part 658; Walsh-Healey Public Contracts Act, as amended, 41 U.S.C. 38; 41 CFR part 50-203; Workforce Investment Act of 1998, 29 U.S.C. 2801 et seq.; other statutes, executive orders and regulations providing for an administrative law judge hearing as they may become applicable in the future.

**PURPOSE(S):**

To maintain the court docket for administrative law judge adjudications. The records and information in the case tracking system are used as the court docket system in administrative law judge hearings conducted pursuant to 5 U.S.C. 552, 553, 554, 556 and 557 and/or a variety of particular statutes and Executive Orders. The purpose of the system is to facilitate the processing of cases and determination of issues in hearings and appeals proceedings.

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

In addition to those universal routine uses listed in the General Prefatory Statement to this document, information may be disclosed to contractors and other Federal agencies, as necessary, for the purpose of assisting this agency in further development and continuing maintenance of the system, or hearing-related functions.

Since the administrative law judges proceedings conducted by the Office of Administrative Law Judges are public, court docket records are available for public inspection.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

None.

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

**STORAGE:**

Computer system.

**RETRIEVABILITY:**

Retrieval by Case Number. Other searchable fields such as name of party, are available.

**SAFEGUARDS:**

Access is limited to authorized users.

**RETENTION AND DISPOSAL:**

Records are deleted fifty years after the appeal process has been completed.

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

Director of Program Operations, U.S. Department of Labor, Office of Administrative Law Judges (OALJ), 800 K St., NW., Washington, DC 20001.

**NOTIFICATION PROCEDURES:**

Inquiries regarding the existence of records should be in the form of a written, signed request to the above address.

**RECORD ACCESS PROCEDURES:**

As in notification procedures.

**CONTESTING RECORD PROCEDURES:**

As in notification procedures.

**RECORD SOURCE CATEGORIES:**

Office of Administrative Law Judge Case Files.

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

None.

**DOL/OALJ-2**

**SYSTEM NAME:**

Office of Administrative Law Judge Case Files.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

Unassigned case files are maintained by the Chief Administrative Law Judge or a District Chief Administrative Law Judge. Assigned case files are maintained by the presiding administrative law judge. Files may be located in the National Office, U.S. Department of Labor, Office of Administrative Law Judges (OALJ), 800 K St., NW, Washington, DC 20001, or in District offices.

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

Claimants, complainants, respondents, and other party litigants in cases referred to OALJ for hearing and decision.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Records may contain claim files, determinations and referral letters from the agency with initial claim development or investigatory responsibility; documents proffered as evidence; pleadings, motions and other submissions by litigants; administrative law judge orders, and decisions and orders; the hearing transcript; and other documents and information necessary to hear and decide cases.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

Administrative Procedure Act, 5 U.S.C. 553, 554, 556, 557, 571 et seq.; Age Discrimination Act of 1975, 42 U.S.C. 6103; 29 CFR part 34; Americans with Disabilities Act of 1990, 42 U.S.C. 12101 et seq.; 29 CFR part 34; Title VI of the Civil Rights Act of 1964, 42 U.S.C. 2000d-1; 29 CFR part 31; Clean Air Act, 42 U.S.C. 7622; 29 CFR part 24; Comprehensive Employment and Training Act, 29 U.S.C. 801-999 (Supp. V 1981); 20 CFR part 676 (1990); Comprehensive Environmental Response, Compensation and Liability Act of 1980, 42 U.S.C. 9610; 29 CFR part 24; Contract Disputes Act, 41 U.S.C. 601 et seq.; 41 CFR part 29-60; 48 CFR 2933.203.70; Contract Work Hours and Safety Standards Act, 40 U.S.C. 327 et seq.; 29 CFR part 6; Copeland Act, 40 U.S.C. 276c; 29 CFR part 6; Davis-Bacon Act, as amended, 40 U.S.C. 276a-276a-7; 29 CFR part 6; Debt Collection Act of 1982, 31 U.S.C. 3711(f); 29 CFR part 20; Title IX of the Education Amendments of 1972, 20 U.S.C. 1682; 29 CFR part 34; Employee Polygraph Protection Act of 1988, 29 U.S.C. 2005; 29 CFR part 801, subpart E; Employee Retirement Income Security Act of 1974, 29 U.S.C. 1132 and 1135; 29 CFR parts 2560 and 2570; Energy Reorganization Act of 1974, as amended, 42 U.S.C. 5851; 29 CFR part 24; Equal Access to Justice Act, 5 U.S.C. 504; 29 CFR part 16; Executive Order No. 11,246, as amended, 3 CFR 339 (1964-1965 Comp.); reprinted in 42 U.S.C. 2000e app.; 41 CFR parts 60-1 and 60-30; Fair Labor Standards Act of 1938, as amended, 29 U.S.C. 211(d); 29 CFR part 530, subpart E; Fair Labor Standards Act of 1938, as amended, 29 U.S.C. 214(c); 29 CFR part 525; Fair Labor Standards Act of 1938, as amended, 29 U.S.C. 216(e); 29 CFR part 580; Title IV of the Federal Mine Safety and Health Act of 1977, as amended, 33 U.S.C. 901 et seq.; 20 CFR parts 410, 718, 725 and 727; Federal Unemployment Tax Act, 26 U.S.C. 3303(b)(3), 3304(c); Federal Unemployment Tax Act (addressing agreements under the Trade Act of 1974, as amended), 26 U.S.C. 3302(c)(3); 20 CFR part 617; Federal Water Pollution

Control Act, 33 U.S.C. 1367; 29 CFR part 24; Immigration and Nationality Act, as amended, 8 U.S.C. 1101(a)(15)(H), 1184 and 1186; 29 CFR part 501, subpart C; Immigration and Nationality Act, as amended, 8 U.S.C. 1101(a)(15)(H), 1182, 1184, 1188, 1288(c); 20 CFR part 655; Immigration and Nationality Act, as amended, 8 U.S.C. 1182(a)(5)(A); 20 CFR part 656; Job Training Partnership Act, 29 U.S.C. 1576; 20 CFR part 627; Labor-Management Reporting & Disclosure Act of 1959, 5 U.S.C. 7120; 29 CFR part 458; Longshore and Harbor Workers' Compensation Act, 33 U.S.C. 901 et seq. (and its extensions Defense Base Act, Outer Continental Shelf Lands Act, District of Columbia Workmen's Compensation Act, 36 DC Code 501 et seq.; Nonappropriated Fund Instrumentalities Act); 20 CFR parts 701, 702 and 704; McNamara-O'Hara Service Contract Act, as amended, 41 U.S.C. 351 et seq.; 29 CFR part 6; Migrant and Seasonal Agricultural Worker Protection Act, 29 U.S.C. 1813, 1853; 29 CFR part 500, subpart F; National Apprenticeship Act, 29 U.S.C. 50; 29 CFR parts 29 and 30; Program Fraud Civil Remedies Act of 1986, 31 U.S.C. 3803; 29 CFR part 22; Section 503 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. 793; 41 CFR part 60-741, subpart B; sec. 504 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. 794; 29 CFR part 32; Reorganization Plan No. 14 of 1950; and 29 CFR part 6; Rules of Practice and Procedure for Administrative Hearings Before the Office of Administrative Law Judges, 29 CFR part 18; Safe Drinking Water Act, 42 U.S.C. 300j-9(i); 29 CFR part 24; Single Audit Act of 1984, 31 U.S.C. 7505; OMB Circular Nos. A-128 and A-110; 29 CFR part 96, subpart 96.6; Social Security Act, 42 U.S.C. 503; 20 CFR part 601; Solid Waste Disposal Act, 42 U.S.C. 6971; 29 CFR part 24; Surface Transportation Assistance Act, 49 U.S.C. 31105; 29 CFR part 1978; Toxic Substances Control Act, 15 U.S.C. 2622; 29 CFR part 24; Vietnam Era Veterans Readjustment Assistance Act, as amended, 38 U.S.C. 4211, 4212; 41 CFR part 60-250, subpart B; Wagner-Peyser Act, as amended, 29 U.S.C. 49 et seq.; 20 CFR part 658; Walsh-Healey Public Contracts Act, as amended, 41 U.S.C. 38; 41 CFR part 50-203; Workforce Investment Act of 1998, 29 U.S.C. 2801 et seq.; other statutes, executive orders and regulations providing for an administrative law judge hearing as they may become applicable in the future.

**PURPOSE(S):**

To maintain the court records for public administrative-adjudicative

hearings. These records and information in these records are used as the court record in administrative law judge hearings conducted pursuant to 5 U.S.C. 552, 553, 554, 556 and 557 and/or a variety of particular statutes and Executive Orders. The purpose of the system is the adjudication of cases and determination of issues in hearings and appeals proceedings.

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

When necessary, information from the case files may be disclosed to individuals in other matters pending before the Office of Administrative Law Judges. Information may be disclosed to contractors for hearing-related functions.

Since the administrative law judges proceedings conducted by the Office of Administrative Law Judges are public, case files are available for public inspection under the Freedom of Information Act, 5 U.S.C. 552. Administrative law judge and Administrative Review Board decisions are posted on the Internet at [www.oalj.dol.gov](http://www.oalj.dol.gov), see 5 U.S.C. 552(a)(2)(A) and (E), and may be distributed to publishers.

See also routine uses listed in the General Prefatory Statement to this document.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

None.

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

**STORAGE:**

Paper records are maintained in file folders. Electronic versions of ALJ orders and decisions are also stored in electronic media.

**RETRIEVABILITY:**

Retrieval By Case Number.

**SAFEGUARDS:**

Paper records are maintained in filing cabinets to which only authorized personnel have access. Computer records have security limiting access to authorized users. Most records, however, are public court documents available for inspection under the Freedom of Information Act, 5 U.S.C. 552.

**RETENTION AND DISPOSAL:**

In cases where OALJ is the official custodian, inactive case files are retained for three years before being sent to a Federal Records Center. The Federal Records Center retains the files for an

additional fifteen years before they are authorized for destruction, except for certain cases designated as precedent setting, which become permanent records. In cases where OALJ is not the official custodian, for example matters relating to Black Lung and Longshore (and extensions) cases, the official file is transferred to the appropriate federal custodial agency. When a case is appealed, the case file is forwarded to the appropriate administrative appellate agency, such as the Benefits Review Board, or the Administrative Review Board.

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

Director of Program Operations, U.S. Department of Labor, Office of Administrative Law Judges (OALJ), 800 K St., NW, Washington, DC 20001.

**NOTIFICATION PROCEDURES:**

Inquiries regarding the existence of records should be in the form of a written, signed request to the above address.

**RECORD ACCESS PROCEDURES:**

As in notification procedures.

**CONTESTING RECORD PROCEDURES:**

As in notification procedures.

**RECORD SOURCE CATEGORIES:**

Records may include information submitted by the agency with initial claims development or investigatory responsibility, claimants, complainants, respondents, and other parties to the case, amicus curiae, administrative law judges involved in case, the court reporter, and in the case of remanded cases, the administrative-appellate body or federal court.

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

None.

**DOL/OALJ-3**

**SYSTEM NAME:**

Contract list.

**SECURITY CLASSIFICATION:**

Unclassified.

**SYSTEM LOCATION:**

U.S. Department of Labor, Office of Administrative Law Judges (OALJ), 800 K St., NW, Washington, DC 20001.

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

Contractors.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Names, addresses and other contact information regarding contractors.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

Administrative Procedure Act, 5 U.S.C. 553, 554, 556, 557, 571 et seq.; Department of Labor Acquisition Regulation, 48 CFR Chapter 29; Department of Labor Manual Series, Chapter 2-800.

**PURPOSE(S):**

To maintain a contractor list to assist in managing agency contracts with contractors.

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

None, except for those universal routine uses listed in the General Prefatory Statement to this document.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

None.

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

**STORAGE:**

Manual files and computer disk.

**RETRIEVABILITY:**

By contractor's name.

**SAFEGUARDS:**

Access limited to agency personnel who manage the contractors. Routine computer precautions limiting access to authorized users.

**RETENTION AND DISPOSAL:**

Records are maintained for three years after the contract relationship between the contractor and the Office of Administrative Law Judges has ended, and then destroyed.

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

Director of Program Operations, U.S. Department of Labor, Office of Administrative Law Judges (OALJ), 800 K St., NW, Washington, DC 20001.

**NOTIFICATION PROCEDURES:**

Inquiries regarding the existence of records should be in the form of a written, signed request to the above address.

**RECORD ACCESS PROCEDURES:**

As in notification procedures.

**CONTESTING RECORD PROCEDURES:**

As in notification procedures.

**RECORD SOURCE CATEGORIES:**

Contract applications.

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

None

**DOL/OALJ-4****SYSTEM NAME:**

Notification List.

**SECURITY CLASSIFICATION:**

Unclassified.

**SYSTEM LOCATION:**

U.S. Department of Labor, Office of Administrative Law Judges (OALJ), 800 K St., NW, Washington, DC 20001.

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

Registrants for e-mail notifications of web site updates.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Names and e-mail addresses of registrants.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

Administrative Procedure Act, 5 U.S.C. 553, 554, 556, 557, 571 et seq.

**PURPOSE(S):**

To provide e-mail notifications of web site updates to registrants.

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

None, except for those uses listed in the General Prefatory Statement to this document.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

None.

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

Computer disk.

**RETRIEVABILITY:**

By name or e-mail address.

**SAFEGUARDS:**

Access limited to agency personnel who manage the web site. Routine computer precautions limiting access to authorized users.

**RETENTION AND DISPOSAL:**

Records are maintained until the registrant asks to be removed from the notification list, or the e-mail address expires, and then destroyed.

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

Director of Program Operations, U.S. Department of Labor, Office of Administrative Law Judges (OALJ), 800 K St., NW, Washington, DC 20001.

**NOTIFICATION PROCEDURES:**

Inquiries regarding the existence of records should be in the form of a written, signed request to the above address.

**RECORD ACCESS PROCEDURES:**

As in notification procedures.

**CONTESTING RECORD PROCEDURES:**

As in notification procedures.

**RECORD SOURCE CATEGORIES:**

Web site users.

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

None

**DOL/ARB-1****SYSTEM NAME:**

Administrative Review Board Appeals Files-DOL ARB-1.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

Administrative Review Board, U.S. Department of Labor, 200 Constitution Ave., NW, Washington, DC 20210.

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

Parties in cases which are before the Secretary, Deputy Secretary or other deciding officials of the Department and for which ARB is assigned responsibility.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Information and decisions assembled in case files pertaining to proceedings relating to administrative adjudications of orders and decisions issued by Departmental officials and Administrative Law Judges.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

Surface Transportation Assistance Act of 1982, 49 U.S.C. app. 2305 (1988); Energy Reorganization Act of 1974, as amended, 42 U.S.C. 5851 (1988); Clean Air Act, 42 U.S.C. 7622 (1988); Water Pollution Control Act, 33 U.S.C. 1367 (1988); Solid Waste Disposal Act, 42 U.S.C. 6971(a) (1988); Safe Drinking Water Act, 42 U.S.C. 300j-9(l) (1988); Toxic Substances Control Act, 15 U.S.C. 2622 (1988); Comprehensive Environmental Response Compensation and Liability Act, 42 U.S.C. 9610 (1988); Comprehensive Employment and Training Act, as amended, 29 U.S.C. 801-999 (Supp. V 1981); Job Training Partnership Act, 29 U.S.C. 1501-1781 (1988); The Workforce Investment Act of 1998, 29 U.S.C. 2801 et seq., Davis-Bacon Act, 40 U.S.C. 270a (1994); McNamara-O'Hara Service Contract Act of 1965, as amended, 41 U.S.C. 351-358 (1988); Migrant and Seasonal Agricultural Worker Protection Act, 29 U.S.C. 1813(b), 1853(b) (1988); Longshore and Harbor Workers' Compensation Act, 33 U.S.C. 907(j)

(1988); Walsh-Healey Public Contracts Act, as amended, 41 U.S.C. 35-45 (1988); Age Discrimination Act of 1975, 42 U.S.C. 6101-6107 (1988); Title VI of the Civil Rights Act of 1964, as amended, 42 U.S.C. 601-605 (1988); Contract Work Hours and Safety Standards Act, 40 U.S.C. 327-332 (1988); Title IX of the Education Amendments of 1972, 20 U.S.C. 1681-1686 (1988); Employee Polygraph Protection Act of 1988, 29 U.S.C. 2001-2009 (1988); Equal Access to Justice Act, 5 U.S.C. 504 (1988); Executive Order No. 11,246, as amended, 3 CFR 339 (1964-1965 Comp.) reprinted in 42 U.S.C. 2000e app. at 28-31 (1988); Fair Labor Standards Act of 1938, as amended, 29 U.S.C. 203(m) and (t), 211(d), 214(c) (1988); Federal Unemployment Tax Act, 26 U.S.C. 3304; Immigration Reform and Control Act of 1986, 8 U.S.C. 1101(a)(15)(H)(ii)(a), 1184(c), 1188 (1988); National Apprenticeship Act, 29 U.S.C. 50 (1988); Program Fraud Civil Remedies Act of 1986, 31 U.S.C. 3801-3812 (1988); Sections 503 and 504 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. 793, 794 (1988); Social Security Act, 42 U.S.C. 503 (Supp. V 1987); Single Audit Act of 1984, 31 U.S.C. 7500-7507 (1988); Trade Act of 1974, as amended, 26 U.S.C. 3302; Vietnam Era Veterans Readjustment Assistance Act, as amended, 38 U.S.C. 4212 (1988); and any laws enacted after May 3, 1996, which by statute, law or regulation provide for final decisions by the Secretary of Labor upon appeal or review of decisions or recommended decisions of ALJs.

**PURPOSE(S):**

The records are maintained for use in adjudication of cases before the ARB.

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

Disclosures may be made to District Courts or Courts of Appeals that are relevant to appeals from ARB decisions. ARB decisions are published on the ARB web-site by using a link to the Internet web-site maintained by the Office of Administrative Law Judges (ALJs) where the decisions are published.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

None.

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

Maintained in manual form in file folders and containers, and with case

tracking information in a computer system.

**RETRIEVABILITY:**

Indexed by name of complainant, respondent, and docket number.

**SAFEGUARD**

Kept in offices which are locked during non-work hours. Computer data are protected by use of a password.

**RETENTION AND DISPOSAL:**

After the ARB function is completed, case records are returned to Office of Administrative Law Judges or to the other originating office, except for Davis-Bacon or Service Contract Act cases which are retained at the Board. A file containing copies of decisions, orders and ARB correspondence related to the case is retained in the office files for ten years, and thereafter sent to the National Archives and Records Administration (NARA) for permanent retention.

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

Chairman, Administrative Review Board, 200 Constitution Avenue, NW, Washington, DC 20210.

**NOTIFICATION PROCEDURE:**

Inquiries regarding records should be in the form of a written, signed request to the above address.

**RECORD ACCESS PROCEDURES:**

As in notification procedure.

**CONTESTING RECORD PROCEDURES:**

As in notification procedure.

**RECORD SOURCE CATEGORIES:**

Records include information submitted by claimants, respondents, other parties in the case, Administrative Law Judges, government representatives and the deciding official.

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

None.

**DOL/ASP-1****SYSTEM NAME:**

National Agricultural Workers Survey (NAWS) Research File.

**SECURITY CLASSIFICATION:**

Unclassified.

**SYSTEM LOCATION:**

The NAWS Sponsor, Office of the Assistant Secretary for Policy, U.S. Department of Labor, 200 Constitution Avenue, NW, Washington, DC 20210; the office of the System Manager, currently Aguirre International, 480 East 4th Avenue, Unit A, San Mateo, CA 94401-3349; and in two locations of the

NAWS Co-Sponsor, the National Institute for Occupational Safety and Health (NIOSH): (1) The Division of Surveillance, Health Hazard Evaluations, and Field Studies, NIOSH, 4676 Columbia Drive, Cincinnati, Ohio 45226, and (2) The Division of Safety Research, NIOSH, 1095 Willowdale Road—mail stop 180-p, Morgantown, West Virginia 26505.

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

The respondents in the National Agricultural Workers Survey. These will be randomly selected individuals who are engaged in crop activities. There will be approximately 4,000 individuals per year included in the file.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

The system will contain records of the employment history and living conditions of crop workers and their families. It will also contain information about the wages, working conditions and recruitment procedures, and health and occupational injury experienced by crop workers. The records will contain the names, and addresses of the respondents in the NAWS. All of this data will have been obtained in a personal interview with the respondents.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301.

**PURPOSE(S):**

To gather and analyze farm worker data on all demographic, employment, wage and working conditions, health, safety, educational, social service, and housing issues. The demographic characteristics of farmworkers have been gathered by the federal government continuously throughout the postwar period. Until 1987 they were gathered by the Current Population Survey through a supplement and then elaborated by USDA's Economic Research Service (ERS). In 1987, the OASP/DOL assumed the responsibility to carry out this national survey, initially to accomplish the mandate of the Immigration Reform and Control Act of 1986 to measure the supply of the farm labor during fiscal years 1990 through 1993. Along with the task of carrying out the labor supply estimate assigned to OASP came the responsibility and the associated resources of the traditional survey on farmworkers.

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

None, except for those universal routine uses listed in the General

Prefatory Statement to this document with the following limitations: The Routine Uses listed at paragraphs 3, 4, 7, 8, 9, and 11 in the General Prefatory Statement to this document are not applicable to this system of records. The records also may be disclosed where required by law.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

None.

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

In the initial stages the information will be stored on interview questionnaires which will be handled by Aguirre International of San Mateo California. This company will transfer the questionnaires as quickly as possible to their San Mateo Offices where they will be kept in locked filing cabinets. The information will be entered onto computer and stored on computer tape by the System Manager, currently Aguirre International, the System Sponsor OASP/DOL and by the System Co-Sponsor NIOSH.

**RETRIEVABILITY:**

By names of respondents.

**SAFEGUARDS:**

The practice and procedure of the Assistant Secretary for Policy prohibits the transfer of any record filed with a personal identifier to any location outside of the contractors' (currently Aguirre International) premises. At all the other system locations, including OASP/DOL, only files without personal identifiers will be stored. At all locations, files will be maintained with secure password protection.

**RETENTION AND DISPOSAL:**

Names will be removed from the records and destroyed not later than four years after the collection of the data.

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

The NAWS Sponsor, Office of the Assistant Secretary for Policy, U.S. Department of Labor, 200 Constitution Avenue, NW, Washington, DC 20210; the System Manager, currently Aguirre International, 480 East 4th Avenue, Unit A, San Mateo, CA, 94401-3349; and the NAWS Co-Sponsor, the National Institute for Occupational Safety and Health (NIOSH): (1) The Division of Surveillance, Health Hazard Evaluations, and Field Studies, NIOSH, 4676 Columbia Drive, Cincinnati, Ohio 45226, and (2) The Division of Safety Research, NIOSH, 1095 Willowdale

Road—mail stop 180-p, Morgantown, West Virginia 26505.

**NOTIFICATION PROCEDURE:**

Individuals wishing to inquire whether this system of records contains information about them should contact OASP/DOL. Individuals must furnish the following information for their records to be located and identified:

- a. Full name
- b. Year of interview

**RECORD ACCESS PROCEDURES:**

Individuals wishing to request access to their own records should contact OASP/DOL and comply with the requirements of the DOL regulation at 29 CFR part 71.2.

**CONTESTING RECORD PROCEDURES:**

To seek amendment of record procedures individuals should direct their requests to OASP/DOL.

**RECORD SOURCE CATEGORIES:**

The information in this system will be received from respondents.

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

None.

**DOL/BRB-1**

**SYSTEM NAME:**

Appeals Files—Benefits Review Board (BRB).

**SYSTEM LOCATION:**

Benefits Review Board, 200 Constitution Avenue, NW, Washington, DC 20210.

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

Parties involved in appeals proceedings before the Benefits Review Board.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Information assembled in case files pertaining to appeals to the Benefits Review Board with respect to claims of employees for benefits under the Longshoremen's and Harbor Workers Compensation Act as amended, and its extensions and the Federal Coal Mine Health and Safety Act, as amended.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

(a) 30 U.S.C. 901-62 (1982) (b) 33 U.S.C. 901-50 (1982) (c) 42 U.S.C. 1651-54 (1982) (d) 36 DC Code 501-04 (1973) (e) 43 U.S.C. 1331-43 (1982) (f) 5 U.S.C. 8171-73 (1982) (g) 42 U.S.C. 1701-17 (1982)

**PURPOSE(S):**

Records are maintained for use in adjudication of appeals.

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

Disclosure outside the Department of Labor may be made to federal courts. BRB decisions are sent to commercial publishing companies for publication, and are also placed on the BRB's Internet Web site.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

None.

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

**STORAGE:**

Maintained in manual form in file folders with data maintained in a computerized case tracking system.

**RETRIEVABILITY:**

By Benefits Review Board docket number, ALJ number, and claimant's name.

**SAFEGUARDS:**

Maintained in offices which are locked after normal work hours.

**RETENTION AND DISPOSAL:**

Case materials returned to the Office of Workers' Compensation Programs, Employment Standards Administration, Department of Labor after completion of Benefits Review Board functions. Copies of the case decision are retained permanently.

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

Clerk of the Board, Benefits Review Board, U.S. Department of Labor, 200 Constitution Avenue, NW., Washington, DC 20210.

**NOTIFICATION PROCEDURE:**

A written and signed request to the System Manager stating that the requester seeks information concerning records pertaining to him is required.

**RECORD ACCESS PROCEDURES:**

A request for access may be addressed to the System Manager. The request must be in writing and be signed by the requester.

**CONTESTING RECORD PROCEDURES:**

A petition for amendment shall be addressed to the System Manager.

**RECORD SOURCE CATEGORIES:**

Records in the system include information submitted by the claimants, employers, carriers, and other persons involved in the appeals proceedings, as well as by the Government.

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

None.

**DOL/BLS-3**

**SYSTEM NAME:**

Regional Office Staff Utilization File.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

Records stored on computer at The National Institutes of Health, Bethesda, MD. Access and maintenance is generally by remote terminal in the Postal Square Building, 2 Massachusetts Ave. NE, Washington, DC 20212.

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

All Regional Office (R.O.) BLS employees.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Staff utilization and travel expenditures data: Name, Social Security Number, pay period, hours worked and units accomplished by PAS code for functions such as personal visit, telephone collection, training, and costs for transportation and subsistence.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301.

**PURPOSE(S):**

To capture and electronically enter time distribution data into the DOL Time Distribution and Accounting Systems. To provide BLS managers a means of monitoring regional staff hours worked per unit and travel expenditures on assigned functions and tasks.

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

None, except for those universal routine uses listed in the General Prefatory Statement to this document.

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

**STORAGE:**

Magnetic tapes and disks.

**RETRIEVABILITY:**

Retrievable by a data field, including name and Social Security Number.

**SAFEGUARDS:**

Only authorized employees have access to tapes/disks, to the programs, and to the Regions' backup documents.

**RETENTION AND DISPOSAL:**

Cumulative file is retained by fiscal year. Original input documents are retained for 4 years and then destroyed.

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

Chief, Division of Field Collection Activities, Postal Square Building, 2

Massachusetts Ave. NE, Washington, DC 20212.

**NOTIFICATION PROCEDURE:**

Mail all inquiries or present in writing to System Manager at above address. Give name, and dates of employment.

**RECORD ACCESS PROCEDURES:**

As above.

**CONTESTING RECORD PROCEDURES:**

As above.

**RECORD SOURCE CATEGORIES:**

The "Staff Utilization Report" (Form SO-1) from each individual R.O. employee who fills it out each pay period, (in place of the DL 1-291, "Project Reporting Form") and SF-1012 (Travel Voucher).

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

None.

**DOL/BLS-6****SYSTEM NAME:**

Applicant Race and National Origin (ARNO) System. Form E 618.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

Bureau of Labor Statistics, Postal Square Building, 2 Massachusetts Ave. N.E., Washington, DC 20212.

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

Job applicants.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

DOL Form E 618, Applicant race and National origin data. Records contain: Name, SSN, grade, title of position, location of position, race, occupational code, date received, ARNO Code, title of announcement, number of announcement, authorization number.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301.

**PURPOSE(S):**

To comply with the data collection requirements of the Luevano V. Devine decree (November 19, 1981) for applicants. See Civil Service Action Number 79-0271, 93 Federal Rules Decisions 68.

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

The reports are sent to the Office of Personnel Management (OPM) to develop statistical reports on the number and race of applicants.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

None.

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

Magnetic disk packs.

**RETRIEVABILITY:**

Retrievable by any element, including name and SSN.

**SAFEGUARDS:**

Only authorized employees have access.

**RETENTION AND DISPOSAL:**

Cumulative file is retained by fiscal year until all analysis is completed, then it is destroyed.

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

Personnel Officer, Division of Human Resources and Organization Management, Postal Square Building, 2 Massachusetts Ave. N.E., Washington, DC 20212.

**NOTIFICATION PROCEDURE:**

Requests should be submitted to above address.

**RECORD ACCESS PROCEDURES:**

As in notification procedure.

**CONTESTING RECORD PROCEDURES:**

As in notification procedure.

**RECORD SOURCE CATEGORIES:**

Individual job applicants who complete Form E 618, Applicant Race and National Origin Questionnaire.

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

None.

**DOL/BLS-7****SYSTEM NAME:**

BLS Employee Conduct Investigation.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

Bureau of Labor Statistics, National Office and eight Regional Offices.

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

BLS employee(s) against whom any allegations of misconduct, illegal acts, conflicts of interest, etc., have been made.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Name, organization and other information relating to the individual involved. It also contains investigative

report(s) associated with the case, including interviews and other data gathered.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301.

**PURPOSE(S):**

To investigate allegations of problems, misconduct, illegal acts, and conflicts of interest.

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

None, except for those universal routine uses listed in the General Prefatory Statement to this document.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

None.

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

The records are stored in file folders in metal cabinets.

**RETRIEVABILITY:**

By name or case file number.

**SAFEGUARDS:**

The files are maintained in locked file cabinets with access only to those with a need to know the information to perform their duties.

**RETENTION AND DISPOSAL:**

Records are retained for four years following the date either: (a) They are referred to the OIG; (b) they are transferred to OPM/GOVT-3 Records of Adverse Actions and Actions Based on Unacceptable Performance; or (c) it is determined that the allegation was without sufficient merit to warrant further action, after which they are destroyed by burning.

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

Personnel Officer, Division of Human Resources and Organization Management, Postal Square Building, 2 Massachusetts Ave. NE, Washington, DC 20212, and appropriate Regional Offices.

**NOTIFICATION PROCEDURE:**

Inquiries should be mailed or presented to the system manager noted at the address listed above.

**RECORD ACCESS PROCEDURES:**

As noted in notification procedure.

**CONTESTING RECORD PROCEDURES:**

As noted in notification procedure.

**RECORD SOURCE CATEGORIES:**

Individuals, supervisors, hotline complaints through the Office of the

Inspector General's hotline; hotline complaints through the General Accounting Office's hotline system; incident reports submitted by employees; interview reports and investigative reports.

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

In accordance with 5 U.S.C. 552a(k)(2), investigatory material in this system of records compiled for law enforcement purposes is exempt from subsections (c)(3); (d); (e)(1); (e)(4)(G), (H), and (I); and (f) of 5 U.S.C. 552a, provided however, that if any individual is denied any right, privilege, or benefit that he or she would otherwise be entitled to by Federal law, or for which he or she would otherwise be eligible, as a result of the maintenance of these records, such material shall be provided to the individual, except to the extent that the disclosure of such material 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 prior to January 1, 1975, under an implied promise that the identity of the source would be held in confidence.

**DOL/BLS-8**

**SYSTEM NAME:**

BLS Employee ADP Training History.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

Bureau of Labor Statistics, National Office.

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

BLS employees who take training under BLS's ADP training contract.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Employee name, employee Social Security Number, employee organization, course taken, course start date, course end date, total hours for course, indication whether or not the course was completed, and cost of the course for this student to the student's organization.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301.

**PURPOSE(S):**

The records are maintained to enable BLS to allocate costs of training to appropriate organization within BLS and to enable employees' managers and employees to determine what courses employees have taken.

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

None, except for those universal routine uses listed in the General Prefatory Statement to this document.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

None.

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

**STORAGE:**

The paper records are stored in file folders in metal cabinets. Machine-readable versions of the records are kept in a microcomputer database.

**RETRIEVABILITY:**

Filed and retrieved by course title or other identifying codes such as course number. Also, filed and retrieved by the name or Social Security Number of employee attending course.

**SAFEGUARDS:**

The files are maintained in locked file cabinets with access only to those with a need to know the information to perform their duties. Access to machine readable data will be limited to those with a need to know.

**RETENTION AND DISPOSAL:**

Destroy when 5 years old or when superseded or obsolete, whichever is sooner.

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

Chief, Division of Technology Measurement and Strategic Initiatives, Room 5110, Postal Square Building, 2 Massachusetts Ave. NE, Washington, DC 20212.

**NOTIFICATION PROCEDURE:**

Inquiries should be mailed or presented to the system manager noted at the address noted above.

**RECORD ACCESS PROCEDURES:**

As noted in notification procedure.

**CONTESTING RECORD PROCEDURES:**

As noted in notification procedure.

**RECORD SOURCE CATEGORIES:**

Application for Training forms such as DL-101 or other application forms BLS may designate. Certificates of course completion and BLS management information system records.

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

None.

**DOL/BLS-9**

**SYSTEM NAMES:**

Routine Administrative Files.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

Bureau of Labor Statistics, Postal Square Building, 2 Massachusetts Ave. NE, Washington, DC 20212.

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

BLS employees, BLS contractors, and visitors for longer than 30 days.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Several groups of records exist: records containing tuition information, contractor ID card records, cardkey security records, Polaroid ID card records, DAS separations database records, imprest fund records, visitor control records, PSB Phone system records, facility service requests records, Sprint telephone card records transit subsidy records, government credit card records, and printing and duplications records.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301.

**PURPOSE(S):**

To record and track routine administrative data, to maintain security, to manage the facility, to plan expenditures, to maintain an employee locator system, and to process fund reimbursement vouchers.

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

None, except for those universal routine uses listed in the General Prefatory Statement to this document.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

None.

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

**STORAGE:**

Stored on file server with tape backup capabilities and on personal computer hard drives with floppy disk backup. Manual files are stored in a secured area in locked file cabinets.

**RETRIEVABILITY:**

By individual's name and Social Security Number.

**SAFEGUARDS:**

Authorized personnel only. File servers and personal computers are

located in secured rooms. Passwords are necessary to access records. Access levels are created within automated systems to restrict unauthorized access to system utilities.

**RETENTION AND DISPOSAL:**

All records are temporary, usually one to four years, and disposal is based on BLS records disposition schedule N1-257-88-1 and the National Archives and Records Administration (NARA) General Records Schedule (GRS) Numbers 1-4, 6, 11-13, and 18.

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

Chief, Branch of Records Management and General Services, Division of Administrative Services, Postal Square Building, 2 Massachusetts Ave. NE, Washington, DC 20212.

**NOTIFICATION PROCEDURE:**

Mail all inquiries or present in writing to System Manager at above address.

**RECORD ACCESS PROCEDURES:**

As in notification procedure.

**CONTESTING RECORD PROCEDURES:**

As in notification procedure.

**RECORD SOURCE CATEGORIES:**

BLS Form OA-189, OA-193, DL 1-101, DL 1-107, OAM-165, OA-185, SO-68, and from individuals concerned.

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

None.

**DOL/BLS-10****SYSTEM NAME:**

Commissioner's Correspondence Control System.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

Bureau of Labor Statistics, Postal Square Building, 2 Massachusetts Ave. NE, Washington, DC 20212.

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

Individuals from whom correspondence is received in the Commissioner's Office of the Bureau of Labor Statistics.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Information about correspondence and the originators including the name of the sender, the subject of the correspondence, the name of the individual and office instructed to prepare a response, a control number, dates, and related information.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301.

**PURPOSE(S):**

To record the receipt of correspondence, to monitor the handling of correspondence, and to facilitate a timely response to correspondence.

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

None, except for those universal routine uses listed in the General Prefatory Statement to this document.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

None.

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

Electronic file server with backup tapes.

**RETRIEVABILITY:**

Name, control number, office assigned response, dates.

**SAFEGUARDS:**

Access by authorized personnel only. Passwords are used.

**RETENTION AND DISPOSAL:**

Dispose when 5 years old.

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

Chief, Division of Management Systems, Postal Square Building, 2 Massachusetts Ave. NE, Washington, DC 20212.

**NOTIFICATION PROCEDURE:**

Inquiries should be mailed or presented to the system manager noted at the address listed above.

**RECORD ACCESS PROCEDURES:**

As noted in notification procedure.

**CONTESTING RECORD PROCEDURES:**

As noted in notification procedure.

**RECORD SOURCE CATEGORIES:**

Correspondents and correspondence received in the Commissioner's Office.

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

None.

**DOL/BLS-11****SYSTEM NAME:**

Mainframe User ID Database.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

Electronic records stored on computer at SunGard Computer Center, Voorhees,

NJ and the National Institutes of Health, Bethesda, MD. Access and maintenance occur by remote terminal in the Postal Square Building, 2 Massachusetts Ave. NE, Washington, DC 20212. Paper copy kept at above address.

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

BLS employees, BLS contractors, state agencies employees.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Records include name, ID to access system, office address and phone number, and account number.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301

**PURPOSE(S):**

To assign and maintain ID numbers to use NIH and Boeing mainframe computers, to locate mainframe users and to run an accounting program.

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

None, except for those universal routine uses listed in the General Prefatory Statement to this document.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

None.

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

Online in mainframe computer and paper copies.

**RETRIEVABILITY:**

By any of the fields listed under Categories of Records in the System.

**SAFEGUARDS:**

Access by authorized personnel only. Passwords are necessary for electronic retrieval. Paper files maintained in locked office.

**RETENTION AND DISPOSAL:**

Reviewed at the beginning of each fiscal year to delete inactive IDs from the previous year. Data files identified for transfer to the National Archives will be transferred as specified.

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

Chief, Division of Technology and Network Management, Postal Square Building, 2 Massachusetts Ave. NE, Washington, DC 20212.

**NOTIFICATION PROCEDURE:**

Mail all inquiries or present in writing to System Manager at above address.

**RECORD ACCESS PROCEDURES:**

As in notification process.

**CONTESTING RECORD PROCEDURES:**

As in notification process.

**RECORD SOURCE CATEGORIES:**

Individuals concerned.

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

None.

**DOL/BLS-12****SYSTEM NAME:**

Employee Acknowledgement Letter Control System.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

Bureau of Labor Statistics, Postal Square Building, 2 Massachusetts Ave. NE, Washington, DC 20212.

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

BLS employees.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Records include name, office address, telephone number, supervisor's name, last day of individual's first pay period, region, cost center, date acknowledgement was signed.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301.

**PURPOSE(S):**

Used by BLS to monitor whether employees have signed the acknowledgement letter regarding the safeguarding of confidential information.

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

None, except for those universal routine uses listed in the General Prefatory Statement to this document.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

None.

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

Electronic file server with backup tapes. Paper files of the signed letters are also maintained.

**RETRIEVABILITY:**

Name, date signed, Social Security Number, regional office.

**SAFEGUARDS:**

Access by authorized personnel only. Passwords are used for electronic system. Paper files are kept in an office which is locked after working hours.

**RETENTION AND DISPOSAL:**

Destroy 3 years after employee is transferred or released from government service.

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

Chief, Division of Management Systems, Postal Square Building, 2 Massachusetts Ave. NE, Washington, DC 20212.

**NOTIFICATION PROCEDURE:**

Inquiries should be mailed or presented to the system manager noted at the address noted above.

**RECORD ACCESS PROCEDURES:**

As noted in notification procedure.

**CONTESTING RECORD PROCEDURES:**

As noted in notification procedure.

**RECORD SOURCE CATEGORIES:**

Employees who signed acknowledgement letters.

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

None.

**DOL/BLS-13****SYSTEM NAME:**

National Longitudinal Survey of Youth 1979 (NLSY79) Database.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

National Opinion Research Center (NORC), University of Chicago, 1155 E. 60th Street, Chicago, IL 60637.

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

A sample of the general population who were ages 14-21 on December 31, 1978 (referred to as respondents), with over representation of blacks, Hispanics, poor whites, and persons serving in the military.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Records include, but are not limited to, name, Social Security Number, control number, marital history, education, job history, unemployment history, military service, training history, fertility/family planning, child health history, alcohol use, drug use, reported police contacts, anti-social behavior, assets and income, school records, Government assistance program participation, childhood residence, child development outcomes, expectations, history of parent/child relationship, time use, time spent on child care and household chores, immigration history, and Armed Services Vocational Aptitude Battery scores.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

29 U.S.C. Sec. 2.

**PURPOSE(S):**

To serve a variety of policy-related research interests concerning the labor market problems of youth. Data are used for studies such as (but not limited to): Diffusion of useful information on labor, examination of employment and training programs, understanding labor markets, guiding military manpower and measuring the effect of military service, analysis of social indicators and measuring parental and child inputs and outcomes.

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

The Bureau of Labor Statistics may release records to the National Opinion Research Center (NORC) and/or Ohio State University to compile data which are not individually identifiable for use by the general public and Federal agencies who are conducting labor force research. Under written agreement to protect the confidentiality and security of identifying information, BLS may provide potentially identifying geographic information to researchers to conduct specific research projects which further the mission and functions of BLS. The records also may be disclosed where required by law. Items 3, 4, 7, 8, 9, 10, and 11 listed in the General Prefatory Statement to this document are not applicable to this system of records.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

None.

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

Files are stored electronically and on paper.

**RETRIEVABILITY:**

Name or Control Number.

**SAFEGUARDS:**

Access by authorized personnel only. Computer security safeguards are used for electronically stored data and locked locations for paper files.

**RETENTION AND DISPOSAL:**

Permanent. Transfer a copy of the data files, together with the documentation, to the National Archives when the data are made available to the public.

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

Program Manager, NLS Youth 1979 Cohort Study, Office of Employment

and Unemployment Statistics, Room 4945, Postal Square Building, 2 Massachusetts Ave., NE, Washington, DC 20212.

**NOTIFICATION PROCEDURE:**

Mail, or present in writing, all inquiries to the System Manager at the above address.

**RECORD ACCESS PROCEDURES:**

As in notification procedure.

**CONTESTING RECORD PROCEDURES:**

As in notification procedure.

**RECORD SOURCE CATEGORIES:**

Individuals concerned.

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

None.

**DOL/BLS-14****SYSTEM NAME:**

BLS Behavioral Science Research Laboratory Project Files.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

Bureau of Labor Statistics, National Office.

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

Individual respondents who participate in studies.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Records include respondent's name, name of study, biographic/personal information on the respondent, and test results and observations.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

29 U.S.C. 2.

**PURPOSE(S):**

Biographic/personal information is used by BLS to select participants for studies. Test results and observations are used by BLS to better understand the behavioral and psychological processes of individuals, as they reflect on the accuracy of BLS information collections.

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

None, except for those universal routine uses listed in the General Prefatory Statement to this document with the following limitations: The Routine Uses listed at paragraphs 3, 4, 7, 8, 9, and 11 in the General Prefatory Statement to this document are not applicable to this system of records. The

records also may be disclosed where required by law.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

None.

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

Paper files, and some electronic files stored on magnetic disks and/or video tapes.

**RETRIEVABILITY:**

Respondent name and study title.

**SAFEGUARDS:**

Available to authorized personnel only. Files are kept in locked offices.

**RETENTION AND DISPOSAL:**

One to three years.

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

Director, Behavioral Sciences Research Center, Office of Research and Evaluation, Postal Square Building, 2 Massachusetts Ave., NE, Washington, DC 20212.

**NOTIFICATION PROCEDURE:**

Mail all inquiries or present in writing to System Manager at above address.

**RECORD ACCESS PROCEDURES:**

As in notification procedure.

**CONTESTING RECORD PROCEDURES:**

As in notification procedure.

**RECORD SOURCE CATEGORIES:**

Individual respondents.

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

None.

**DOL/BLS-17****SYSTEM NAME:**

National Longitudinal Survey of Youth 1997 (NLSY97) Database.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

National Opinion Research Center (NORC), University of Chicago, 1155 E. 60th Street, Chicago, IL 60637.

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

A sample of the general population who were ages 12-16 on December 31, 1996 (referred to as respondents), with over representation of blacks, Hispanics, and disabled students.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Records include, but are not limited to, name, Social Security Number, control number, marital history, education, job history, unemployment history, military service, training history, fertility/family planning, child health history, alcohol use, drug use, reported police contacts, anti-social behavior, assets and income, school records, Government assistance program participation, childhood residence, child development outcomes, expectations, history of parent/child relationship, time use, time spent on child care and household chores, immigration history, and Armed Services Vocational Aptitude Battery scores.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

29 U.S.C. Sec. 2.

**PURPOSE(S):**

To serve a variety of policy-related research interests concerning the school-to-work transition and the labor market problems of youth. Data are used for studies such as (but not limited to): diffusion of useful information on labor, examination of employment and training programs, understanding labor markets, analysis of social indicators, measuring parental and child input and outcomes, norming the Department of Defense Armed Services Vocational Aptitude Battery in its computerized adaptive form, and creation of norms for the Department of Defense Interest Measure.

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

The Bureau of Labor Statistics may release records to the National Opinion Research Center (NORC) and/or Ohio State University to compile data which are not individually identifiable for use by the general public and Federal agencies who are conducting labor force research. Under written agreement to protect the confidentiality and security of identifying information, BLS may provide potentially identifying geographic information to researchers to conduct specific research projects which further the mission and functions of BLS. The records also may be disclosed where required by law. Items 3, 4, 7, 8, 9, 10, and 11 listed in the General Prefatory Statement to this document are not applicable to this system of records.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

None.

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

Files are stored electronically and on paper.

**RETRIEVABILITY:**

Name or Control Number.

**SAFEGUARDS:**

Access by authorized personnel only. Computer security safeguards are used for electronically stored data, and locked locations for paper files.

**RETENTION AND DISPOSAL:**

Permanent. Transfer a copy of the data files, together with the documentation, to the National Archives when the data are made available to the public.

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

Program Manager, NLS Youth 1997 Cohort Study, Office of Employment and Unemployment Statistics, Postal Square Building, 2 Massachusetts Ave., NE, Washington, DC 20212.

**NOTIFICATION PROCEDURE:**

Mail, or present in writing, all inquiries to the System Manager at the above address.

**RECORD ACCESS PROCEDURES:**

As in notification procedure.

**CONTESTING RECORD PROCEDURES:**

As in notification procedure.

**RECORD SOURCE CATEGORIES:**

Individuals concerned.

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

None.

**DOL/BLS-18****SYSTEM NAME:**

Postal Square Building Parking Management Records.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

Bureau of Labor Statistics, Postal Square Building, 2 Massachusetts Ave., NE, Washington, DC 20212.

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

All individuals assigned or applying for assignment of parking privileges in the Postal Square Building, Washington, DC.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

This system includes the following information on all individuals assigned

or applying for parking privileges in the Postal Square Building; Name of driver and rider(s); office building and room number; office telephone number; employing agency home address including city, State and zip code; federal service computation date; handicap certification; automobile license numbers, make and year of car, permit number (if assigned parking privileges); category of assignments, and estimated times of arrival and departure, office location; and whether the applicant is in or out of the zone of special consideration.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301.

**PURPOSE(S):**

The information is used by the Bureau of Labor Statistics in the administration of the Postal Square Building parking and car pool programs.

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

Disclosure of information may be made to other government agencies to compare names of car pool members. For verification and, as a service to car pool seekers, the name of each driver and rider and permit number; his or her office telephone number and address; and his or her home city, state and zip code, will be displayed within BLS facilities and on automated information systems including the Intranet. Information may be provided to other applicants or listed members of the carpool, their supervisors, or their administrative personnel/timekeepers in order to confirm information provided on the application.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

None.

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

Manual files are stored in a locked file cabinet. Computer records are stored on diskettes, on personal computer hard drives, and on the BLS wide-area network.

**RETRIEVABILITY:**

Records may be filed and retrieved by name or permit number or other information in the System as needed.

**SAFEGUARDS:**

Access to and use of these records is limited to personnel whose official duties require access. The information in automated systems is protected from

unauthorized access. Written application data are placed in locked file cabinets.

**RETENTION AND DISPOSAL:**

Paper records and the database are destroyed three (3) months after the return of the credentials to the issuing office.

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

Chief, Division of Administrative Services, 2 Massachusetts Ave., NE., Washington, DC 20212.

**NOTIFICATION PROCEDURE:**

Access to these records may be obtained by request in writing to: Chief, Division of Administrative Services, 2 Massachusetts Ave., NE., Washington, DC 20212.

**RECORD ACCESS PROCEDURES:**

Individuals wishing to request access to records should contact the appropriate office listed in the notification procedure section. Individuals must furnish the name for the record they wish to access.

**CONTESTING RECORD PROCEDURES:**

Individuals wishing to request amendment of the records should contact the official at the address specified under notification procedures above and reasonably identify the record and specify the information to be contested.

**RECORD SOURCE CATEGORIES:**

Individuals concerned and from information provided by parking applicants on Form DL 1-127, Application for Parking Assignment and OA-205 BLS Application for Parking Permit.

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

None.

**DOL/BLS-19****SYSTEM NAME:**

Customer Information Files.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

Offices in the Bureau of Labor Statistics (BLS) at the National Office and in each of the BLS Regional Offices.

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

Individuals (customers) requesting BLS information.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Information necessary to satisfy customer requests and enhance service

to customers. Depending on the nature of the request, may include (but is not limited to) name, title, occupation, mailing address, telephone and fax numbers, Internet Protocol (I.P.) addresses, material requested, consent forms, E-Mail addresses and dates.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301.

**PURPOSE(S):**

To enhance customer service by improving the availability of BLS information on automated systems; to facilitate sending information about new data products to customers with corresponding interests; to provide usage statistics associated with the BLS public access Internet site, and to provide a frame from which to select an unbiased sample of customers for customer service surveys. Maintaining the names, addresses, etc. of customers requesting BLS data/publications will enable BLS to streamline the process for handling subsequent customer inquiries and requests by eliminating duplicative gathering of mailing information. Internet Protocol (IP) addresses will be used only to calculate general usage statistics; the addresses themselves will be discarded.

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

None, except for those universal routine uses listed in the General Prefatory Statement to this document.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

None.

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

Files are stored electronically and/or on paper.

**RETRIEVABILITY:**

By name, telephone or fax number (including the telephone number from which the customer dials), or other identifying information in the System.

**SAFEGUARDS:**

Access by authorized personnel only. Computer security safeguards are used for electronically stored data and locked locations for paper files.

**RETENTION AND DISPOSAL:**

Current customer information service files are updated as required and are destroyed when three (3) months old or when no longer needed.

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

Associate Commissioner for Publications and Special Studies, Postal Square Building, 2 Massachusetts Ave., NE, Washington, DC 20212.

Associate Commissioner for Field Operations, Postal Square Building, 2 Massachusetts Ave., NE, Washington, DC 20212.

Chief, Division of Data Dissemination Systems, Postal Square Building, 2 Massachusetts Ave., NE., Washington, DC 20212.

**NOTIFICATION PROCEDURE:**

Mail, or present in writing, all inquiries to the System Managers at the above addresses.

**RECORD ACCESS PROCEDURES:**

As in notification procedure.

**CONTESTING RECORD PROCEDURES:**

As in notification procedure.

**RECORD SOURCE CATEGORIES:**

Individuals concerned.

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

None.

**DOL/BLS-20****SYSTEM NAME:**

Fellowship Applicants and Recipients Files.

**SECURITY CLASSIFICATION:**

Unclassified.

**SYSTEM LOCATION:**

Offices in the Bureau of Labor Statistics (BLS) National Office.

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

Applicants and recipients of fellowship awards (e.g., Fellows in the American Statistical Association/National Science Foundation/BLS Fellowship Program), who are not Federal employees but are assigned to work with BLS staff and/or BLS non-public data files.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Records include the individual's name, Social Security Number, school transcripts, work address and telephone number, home address and telephone number, and biographical information; applications, research proposals, and related papers; test results, and other documents such as correspondence with the individual.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301.

**PURPOSE(S):**

To assure that the appropriate records on fellowship awards are maintained and are available for official use.

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

None, except for those universal routine uses listed in the General Prefatory Statement to this document.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

None.

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

Files are stored electronically and on paper.

**RETRIEVABILITY:**

By name.

**SAFEGUARDS:**

Access by authorized personnel only. Computer security safeguards are used for electronically stored data, and locked locations for paper files.

**RETENTION AND DISPOSAL:**

These records are permanent. Records are transferred to the Federal Records Center when five (5) years old. They are offered to NARA in ten (10) year blocks, when the most recent record is twenty (20) years old.

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

Associate Commissioner for Survey Methods Research, Postal Square Building, 2 Massachusetts Ave. NE, Washington, DC 20212.

**NOTIFICATION PROCEDURE:**

Mail, or present in writing, all inquiries to the System Manager at the above address.

**RECORD ACCESS PROCEDURES:**

As in notification procedure.

**CONTESTING RECORD PROCEDURES:**

As in notification procedure.

**RECORD SOURCE CATEGORIES:**

Individuals concerned; from references, the Education Testing Service, educational institutions supplying transcripts, review records; and administrative data developed during the selection process and/or award tenure.

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

None.

**DOL/OCFO-1****SYSTEM NAME:**

Attendance, Leave, and Payroll File.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

A. All Departmental component offices in Washington DC.

B. All Departmental component offices in the Regions and Areas.

C. Timekeepers.

D. Offices of the Chief Financial Officer.

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

Department of Labor employees.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Name, social security number and employee number, grade, step, and salary, transit subsidies, organization (code), retirement or FICA data as applicable. Federal, State, and local tax deductions, as appropriate. IRS tax lien data, commercial garnishment, child support, authorization forms for savings bond and charity deductions; authorization forms for regular and optional government life insurance deduction and plan or code; cash award data; jury duty data, military leave data, pay differentials, authorization forms for labor union dues deductions, allotments by type and amount, Thrift Savings Plan contributions, financial institution code and employee account number, leave status and leave data of all types (including annual, compensatory, jury duty, maternity, military, retirement, disability, sick, transferred, donated, and without pay), time and attendance records, including flexitime log sheets indicating number of regular, overtime, holiday, Sunday, and other hours worked, pay period number and ending date, cost of living allowances, co-owner and/or beneficiary of bonds, marital status, number of dependents, mailing address, "Notification of Personnel Action", and claims by the employee for overtime, for back wages and for waivers. Consumer credit reports of individuals indebted to the United States, correspondence to and from the debtor, information or records relating to the debtor's current whereabouts, assets, liabilities, income and expenses, debtor's personal financial statements and other information such as the nature, amount and history of a debt owed by an individual covered by this system, and other records and reports relating to the implementation of the Debt Collection Act of 1982, as amended by the Debt Collection Improvement Act

of 1996, including any investigative reports or administrative review matters. The individual records listed herein are included only as pertinent or applicable to the individual employee.

**Note:** Sign-in and sign-out records are filed chronologically and are not part of this system.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

31 U.S.C. 66(A).

**PURPOSE(S):**

In compliance with principles and standards prescribed by the Comptroller General, this system manages the Department of Labor's compensation and benefits processing, accounting, and reporting. The system provides control procedures and systems to assure the complete and timely processing of input documents and output reports necessary to update and maintain the Department's Interactive Payroll System.

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

A. In addition to the general prefatory routine uses, transmittal of data to the U.S. Treasury to effect issuance of paychecks or electronic fund transfers (EFT) to employees and distribution of pay according to employee directions for savings bonds, allotments to financial institutions, and other authorized purposes. Transmittal of Thrift Savings Plan data to the Thrift Savings Board to effect contributions to the Thrift Savings Plan. Tax withholding data sent to the Internal Revenue Service and appropriate State and local taxing authorities, FICA deductions to the Social Security Administration, information concerning dues deductions to labor unions, withholdings for health insurance to insurance carriers and the Office of Personnel Management, charity deductions to agents of charitable institutions, annual W-2 statements to taxing authorities and the individual, and transmittal of computer tape data to appropriate State and local governments for their benefits matching projects. Transmittal of employee's name, social security number, salary history to state unemployment insurance agencies in order to facilitate the processing of state unemployment insurance claims for DOL employees.

B. Pursuant to section 13 of the Debt Collection Act of 1982, as amended by the Debt Collection Improvement Act of 1996, the name, Social Security Number, address(es), telephone number(s), and nature, amount and history of the debt of a current or former

employee may be disclosed to private collection agencies for the purpose of collecting or compromising a debt existing in this system.

C. Department of Justice and General Accounting Office: Information may be forwarded to the General Accounting Office and/or the Department of Justice as prescribed in the Joint Federal Claims Collection Standards (4 CFR Chapter II). When debtors fail to make payment through normal collection routines, the files are analyzed to determine the feasibility of enforced collection by referring the cases to the Department of Justice for litigation.

**D. Other Federal Agencies:**

Pursuant to sections 5 and 10 of the Debt Collection Act of 1982, as amended by the Debt Collection Improvement Act of 1996, information relating to the implementation of the Debt Collection Act of 1982 may be disclosed to other Federal Agencies to effect salary or administrative offsets, or for other purposes connected with the collection of debts owed to the United States.

**E. Internal Revenue Service:**

(1) Information contained in the system of records may be disclosed to the Internal Revenue Service to obtain taxpayer mailing addresses for the purpose of locating such taxpayer to collect, compromise, or write-off a Federal claim against the taxpayer.

(2) Records from this system of records may be disclosed to the Internal Revenue Service for the purpose of offsetting a Federal claim from any income tax refund that may be due to the debtor.

(3) Information may be disclosed to the Internal Revenue Service concerning the discharge of an indebtedness owed by an individual.

F. Records from this system of records may be disclosed to the Defense Manpower Data Center—Department of Defense and the United States Postal Service to conduct computer matching programs for the purpose of identifying and locating individuals who are receiving Federal salaries or benefit payments and are delinquent in their repayment of debts owed to the United States Government under certain programs administered by the United States Department of Labor in order to collect debts under the provisions of the Debt Collection Act of 1982 (Pub. L. 97-365) by voluntary repayment, or by salary or administrative offset procedures.

G. The names, social security numbers, home addresses, dates of birth, dates of hire, quarterly earnings, employer identifying information, and State of hire of employees may be disclosed to the Office of Child Support

Enforcement, Administration for Children and Families, Department of Health and Human Services for the purpose of locating individuals to establish paternity, establishing and modifying orders of child support, identifying sources of income, and for other child support enforcement actions as required by the Personal Responsibility and Work Opportunity Reconciliation Act (Welfare Reform law, Pub. L. 104-193).

H. A record from this system of records, reflecting the employee's transit subsidy, may be disclosed to other governmental agencies for purposes of comparing transit subsidy recipients and car pool applicants.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

The amount, status, and history of overdue debts; the name and address, taxpayer identification number (SSN), and other information necessary to establish the identity of a debtor, the agency and program under which the claim arose, are disclosed pursuant to 5 U.S.C. 552a(b)(12) to consumer reporting agencies as defined by section 603(f) of the Fair Credit Reporting Act (15 U.S.C. 1681a(f)), in accordance with section 3(d)(4)(A)(ii) of the Federal Claims Collection Act of 1966, as amended (31 U.S.C. 3711(f)) for the purpose of encouraging the repayment of an overdue debt.

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

**STORAGE:**

Manual and machine-readable files.

**RETRIEVABILITY:**

By name and SSN.

**SAFEGUARDS:**

Personnel screening and locked storage equipment.

**RETENTION AND DISPOSAL:**

Retained for fifty-six (56) years.

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

Director, Office of Accounting and Payment Services, Office of the Chief Financial Officer, Department of Labor, 200 Constitution Ave, NW, Washington, DC 20210.

**NOTIFICATION PROCEDURE:**

Inquiries should be mailed or presented to the system manager noted at the addresses listed above.

**RECORD ACCESS PROCEDURES:**

A request for access shall be addressed to the system manager at the address listed above. Individuals must

furnish their name and address for their records to be located and identified:

- a. Name and address.

**CONTESTING RECORD PROCEDURES:**

A petition for amendment shall be addressed to the System Manager.

**RECORD SOURCE CATEGORIES:**

Employees, supervisors, timekeepers, official personnel records, the IRS, consumer credit reports, personal financial statements, correspondence with the debtor, records relating to hearings on the debt, and from other DOL systems of records.

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

None.

**DOL/OCFO-2**

**SYSTEM NAME:**

Department of Labor Accounting and Related Systems.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

- A. All Departmental component offices in Washington DC;
- B. All Departmental component offices in the Regions and the Areas.

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

All persons who receive or who owe a payment from agency/regional financial offices. Persons receiving payments include, but are not limited to: Employees, vendors, travelers on official business, grantees, contractors, consultants, and recipients of loans and scholarships. Persons owing monies include, but are not limited, to persons who have been overpaid and who owe DOL a refund and persons who have received from DOL goods or services for which there is a charge or fee (e.g., Freedom of Information Act requesters).

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Name, identification number (Taxpayer Identification Number or other identifying number), address, purpose of payment, accounting classification, amount to be paid, and amount paid.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301.

**PURPOSE(S):**

These records are an integral part of the accounting systems at principal operating components, agency regional offices and specific area locations. The records are used to keep track of all payments to individuals, exclusive of

salaries and wages, based upon prior entry into the systems of the official commitment and obligation of government funds. When an individual is to repay funds advanced as a loan or scholarship, etc., the records will be used to establish a receivable record and to track repayment status. In event of an overpayment to an individual, the record is used to establish a receivable record for recovery of the amount claimed. The records are also used internally to develop reports to the Internal Revenue Service and applicable state and local taxing officials of taxable income. This is a Department-wide notice of payment and collection activities at all locations listed under system locations.

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

- A. Transmittal of the records to the U.S. Treasury to effect issuance of payments to payees.
- B. Pursuant to section 13 of the Debt Collection Act of 1982, the name, address(es), telephone number(s), social security number, and nature, amount and history of debts of an individual may be disclosed to private debt collection agencies for the purpose of collecting or compromising a debt existing in this system.
- C. Information may be forwarded to the Department of Justice as prescribed in the Joint Federal Claims Collection Standards (4 CFR Chapter II) for the purpose of determining the feasibility of enforced collection, by referring the cases to the Department of Justice for litigation.
- D. Pursuant to sections 5 and 10 of the Debt Collection Act of 1982, information relating to the implementation of the Debt Collection Act of 1982 may be disclosed to other Federal Agencies to effect salary or administrative offsets.
- E. Information contained in the system of records may be disclosed to the Internal Revenue Service to obtain taxpayer mailing addresses for the purpose of locating such taxpayer to collect, compromise, or write off a Federal claim against the taxpayer.
- F. Information may be disclosed to the Internal Revenue Service concerning the discharge of an indebtedness owed by an individual.
- H. Information will be disclosed:
  1. To credit card companies for billing purposes;
  2. To other Federal agencies for travel management purposes;
  3. To airlines, hotels, car rental companies and other travel related companies for the purpose of serving the traveler. This information will

generally include the name, phone number, addresses, charge card information and itineraries.

4. To state and local taxing officials informing them of taxable income.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

The amount, status, and history of overdue debts; the name and address, taxpayer identification number (SSN), and other information necessary to establish the identity of a debtor, the agency and program under which the claim arose, are disclosed pursuant to 5 U.S.C. 552a(b)(12) to consumer reporting agencies as defined by section 603(f) of the Fair Credit Reporting Act (15 U.S.C. 1681a(f)), in accordance with section 3(d)(4)(A)(ii) of the Federal Claims Collection Act of 1966, as amended (31 U.S.C. 3711(f)) for the purpose of encouraging the repayment of an overdue debt.

**Note:** Debts incurred by use of the official travel charge card are personal and the charge card company may report account information to credit collection and reporting agencies.

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

**STORAGE:**

Paper records in file cabinets. Computer records within a computer, its attached equipment or some magnetic form.

**RETRIEVABILITY:**

This varies according to the particular operating accounting system within the Operating Division, Agency and Regional Office. Usually the hard copy document is retrieved by name within accounting classification. Computer records may be retrieved by social security number and voucher number or on any field in the record.

**SAFEGUARDS:**

Records stored in lockable file cabinets or secured rooms. Computerized records protected by password system.

**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 after six years and three months. Generally, on the accounting side, information is kept until at least the employee has left the Department, and perhaps longer, until all existing activity for the employee is closed out. Generally, on the payroll side, the information stays on the Master Employee Record until the retirement

has been reconciled for the year in which the employee has left.

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

Director, Office of Accounting and Payment Services, Office of the Chief Financial Officer, Department of Labor, 200 Constitution Avenue, NW, Washington, DC 20210.

**NOTIFICATION PROCEDURE:**

Inquiries should be mailed or presented to the system manager noted at the address listed above.

**RECORD ACCESS PROCEDURES:**

A request for access shall be addressed to the system manager at the address listed above.

**CONTESTING RECORD PROCEDURES:**

A petition for amendment shall be addressed to the System Manager.

**RECORD SOURCE CATEGORIES:**

Individuals, employees, other DOL systems, other Federal agencies, consumer reporting agencies, credit card companies, government contractors, state and local law enforcement.

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

None.

**DOL/OCFO-3**

**SYSTEM NAME:**

Travel and Transportation System

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

A. All component offices in Washington DC  
B. Regional and area offices of the components.

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

All individuals who travel in an official capacity for the Department of Labor.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Various records are created and maintained in support of official travel. The forms or succeeding forms may include the following:  
DL 1-33 Travel Authorization  
SF 1038 Advance of Funds Application and Account  
SF 1012 Travel Voucher  
DL 1-2024 Request and Authorization for Exception From Standard Contract Terms for City-Pair Service  
DL 1-289 Request for Approval of GSA Vehicle Option or Exemption  
DL 1-473 Employment Agreement for Transfers Within the Continental U.S.

DL 1-474 Employment Agreement for Persons Assigned to Posts Outside the Continental U.S.

DL-1-2030 Estimated PCS Travel and Transportation Data for Travel Authorization DL-1-2031 Claim Form for Payment of Relocation Income Tax Allowance

DL-1-2032 Covered Taxable Reimbursements

DL-1-2033R Withholding Tax Allowance, Summary of Transactions, Withholding of Taxes, and W-2 Reporting

DL 1-472 Employee Application for Reimbursement of Expenses Incurred in Sale or Purchase (or both) of Residence Upon Change of Official Station

SF 1164 Claim for Reimbursement for Expenditures on Official Business

DL 1-101 Training Authorization and Evaluation Form

DL 1-478 Administrative Exception to Travel Claim

DL 1-423 Expense Record for Temporary Quarters

SF 1169 Government Transportation Request (will be phased out within next 5 years)

Telephone charge cards.

As a result of travel, individuals may become indebted to the Government. Records used to cure these claims include: consumer credit reports, information or records relating to the debtor's current whereabouts, assets, liabilities, income and expenses, debtor's personal financial statements, and other information such as the nature, amount and history of the debt, and other records and reports relating to the implementation of the Debt Collection Act of 1982, including any investigative reports or administrative review matters.

Individuals expecting to travel at least two times per year are required to have charge cards provided by Government contract. Besides the application for such cards, records created include transaction, payment and account status data.

Travel arrangement services are also available by Government contract. Records include traveler's profile containing name of individual, social security number, home and office telephones, agency's name, address, and telephone number, air travel preference, rental car identification number and preference of car, hotel preference, current passport and/or visa number, personal credit card numbers, and additional information; travel authorization; and monthly reports from travel agent(s) showing charges to individuals, balances, and other types of