

account analyses. Permanent change of station travel arrangements may include information about real estate and movement of household goods. To provide more efficient processing of travel documents, travel document processing software will be used by employees to record travel planning information, expenses incurred, traveler/employer identification information (SSN, and other identifying information used in conjunction with the purposes of the software), user ID's, passwords, electronic signatures, routing lists and other information used by the system to track and process travel documentation.

Vendors and contractors provide to the Department itemized statements of invoices, and reports of transactions including refunds and adjustments to enable audits of charges to the Government.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

41 CFR part 101-7 (Federal Travel Regulations); interpret or apply 31 U.S.C. 3511, 3512, and 3523; 31 U.S.C. 3711 et seq. (Debt Collection Act of 1982); section 206 of Executive Order 11222 (May 8, 1965); 5 CFR 735.207 (Office of Personnel Management Regulations).

**PURPOSE(S):**

To facilitate performance of official Government travel by documenting the authorization of travel; payment of advances; payment of claims, invoices, vouchers, judgments; debts created by advance payments and overpayments; provision and use of government contractor-issued charge cards; and to make travel arrangements.

Data received from a charge card company under government contract will be used to perform responsibilities under section 206 of Executive Order 11222 (May 8, 1965) and 5 CFR 735.207 (Office of Personnel Management Regulations) concerning requirements for employees to pay their just financial obligations in a proper and timely manner. Reports will also be monitored to insure that the charge cards are used only in the course of official travel as required by the contract. Data will also be analyzed to permit more efficient and cost effective travel planning and management, including negotiated costs of transportation, lodging, subsistence and related services.

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

A. Transmittal of data to the U.S. Treasury to effect issuance of checks and Electronic Funds Transfer (EFT) payments to payees.

B. Information may be forwarded to 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.

C. 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, or for other purposes connected with the collection of debts owed to the United States.

D. 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.

E. Information may be disclosed to the Internal Revenue Service concerning the discharge of an indebtedness owed by an individual, or other taxable benefits received by the employee.

F. Information will be disclosed:

1. To credit card companies for billing purposes.

2. To Departmental and other Federal agencies such as GSA for travel management purposes.

3. To airlines, hotels, car rental companies, travel management centers 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.

**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 and attached equipment.

**RETRIEVABILITY:**

Filed by name and/or social security number of traveler or by travel document number at each location.

**SAFEGUARDS:**

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

**RETENTION AND DISPOSAL:**

Records are held for 6 years or until audit whichever is sooner and then destroyed.

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

Office of the Chief Financial Officer, Division of Planning and Internal Control, Department of Labor, 200 Constitution Avenue, NW, Washington, DC 20210.

**NOTIFICATION PROCEDURE:**

Inquiries from individuals should be addressed to the appropriate agency's administrative office for which they traveled.

**RECORDS ACCESS PROCEDURES:**

Requests from individuals should be addressed to the appropriate Department of Labor agency's administrative office for which they traveled. Individuals must furnish their full name and the authorizing agency component for their records to be located and identified.

**CONTESTING RECORD PROCEDURES:**

Individuals wishing to request amendment of their records should contact the appropriate Department of Labor administrative office of which they traveled. Individuals must furnish their full name and the name of the authorizing agency, including duty station where they were employed when traveling if applicable.

**RECORD SOURCE CATEGORIES:**

Individuals, employees, 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/ODEP-1****SYSTEM NAME:**

Job Accommodation Network (JAN) Files.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

Job Accommodation Network, West Virginia University, P.O. Box 6080, Morgantown, West Virginia, 26505-6080.

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

Individuals with disabilities, employers and the general public who request information through the JAN system.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Caller's name, address, telephone number, type of disability, functional limitations caused by the disability, accommodations discussed, type of firm or organization for whom the caller works, and anecdotal information recorded by the human factors consultant.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301

**PURPOSE(S):**

This system provides technical assistance to businesses and to individuals for the purpose of making job accommodations for individuals with disabilities. It also makes possible the sharing of information about job accommodations. The JAN system compiles a comprehensive resource data bank for job accommodations currently available. Finally, the system provides technical assistance to employers on how to comply with the Americans with Disabilities Act (ADA).

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

In addition to those universal routine uses listed in the General Prefatory Statement to this document, relevant information may be disclosed to employers for the purpose of hiring individuals with disabilities and/or for enabling the employers to accommodate employees with disabilities.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

None.

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

Computer disks.

**SAFEGUARDS:**

The data is stored on computer disk, stored in a secure central file server.

**RETRIEVABILITY:**

Records are retrieved by caller's name, state, and job interest category.

**RETENTION AND DISPOSAL:**

Data is maintained permanently on the file server with access by program personnel only.

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

The systems manager is the Project Director of the Job Accommodations Network, West Virginia University, P.O. Box 6080, Morgantown, WV 26506-6080.

**NOTIFICATION PROCEDURE:**

Mail all inquiries or present in writing to the Office of Disability Employment Policy, 1331 F Street, NW, DC 20004 or to the Freedom of Information Act/ Privacy Act Coordinator, at U.S. Department of Labor/Office of Disability Employment Policy, 200 Constitution Avenue., NW, Washington, DC 20210.

**RECORDS ACCESS PROCEDURES:**

Individuals wishing to gain access shall write to Assistant Secretary for Disability Employment Policy at the above addresses.

**CONTESTING RECORD PROCEDURES:**

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 in the JAN system.

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

None.

**DOL/ODEP-2****SYSTEM NAME:**

Workforce Recruitment Program (WRP) Database.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

Office of Disability Employment Policy, U.S. Department of Labor, 1331 F Street, NW, Third Floor, Washington, DC 20004.

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

College students with disabilities who have interviewed with a WRP recruiter on a college campus.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Student's name, address, telephone number, e-mail address, college, major, credits earned, degree sought, job preference categories, job location preference, type of disability, job accommodation information, recruiter's summary of student's interview.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301.

**PURPOSE(S):**

To provide federal and private sector employers a database resource of college students with disabilities from which to identify qualified temporary and permanent employees in a variety of fields.

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

In addition to those universal routine uses, listed in the General Prefatory Statement to this document, relevant information concerning student interviewees may be disclosed to interested federal and private sector employers. Disability information concerning interviewees is disclosed to interested federal employers but not to private sector employers.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

None.

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

CD-ROMs.

**SAFEGUARDS:**

The data is stored on CD-ROMs and stored on program manager's hard drive.

**RETRIEVABILITY:**

Records are retrieved by student's name, state, or job interest category.

**RETENTION AND DISPOSAL:**

Data is maintained indefinitely on CD-ROMs and on the project manager's hard drive. Paper files are maintained by the project manager and destroyed after one year.

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

The system manager is the WRP Project Manager, Office of Disability Employment Policy, 1331 F Street, NW, Third Floor, Washington, DC 20004.

**NOTIFICATION PROCEDURE:**

Mail all inquiries or present in writing to the Office of Disability Employment Policy, 1331 F Street, NW, Third Floor, Washington, DC, 20004.

**RECORDS ACCESS PROCEDURES:**

Individuals wishing to gain access shall write to the Office of Disability Employment Policy at the above address.

**CONTESTING RECORD PROCEDURES:**

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

**RECORD SOURCE CATEGORIES:**

College students with disabilities who have participated in an interview with a WRP recruiter.

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

None.

**DOL/ECAB-01****SYSTEM NAME:**

Employees' Compensation Appeals Board Docket Records.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

U.S. Department of Labor, Employees' Compensation Appeals Board, 200 Constitution Avenue, NW, Washington, DC 20210.

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

Former or current Federal employees appealing final decisions of the Office of Workers' Compensation Programs.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Documents pertaining to appeals of final decisions rendered by the Office of Workers' Compensation Programs arising under the Federal Employees Compensation Act, including incoming and outgoing correspondence, a summary of processing transactions, pleadings, motions, orders, and final disposition.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 8101 et seq.

**PURPOSE(S):**

To maintain records of appeals and track appeals through processing and disposition operations.

**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, ECAB decisions are sent for publication to the

U.S. Government Printing Office (GPO) and are available on ECAB'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 hard copy form in file folders; summary data maintained in computer based case tracking system.

**RETRIEVABILITY:**

Indexed by ECAB Docket case number, can be cross-referenced to individual's name.

**SAFEGUARDS:**

Manual Docket records are maintained in a separate file room with access restricted to ECAB employees and which is locked during non-work hours.

**RETENTION AND DISPOSAL:**

Manual Docket records are retired to the National Records Center after three years; they are destroyed after 20 years. Historical computer records are stored permanently on diskette in a locked cabinet.

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

Chairman, Employees' Compensation Appeals 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 System Manager at the above address and should specify the ECAB Docket number.

**RECORD ACCESS PROCEDURES:**

Information or assistance regarding access to ECAB Docket records may be obtained by contacting the Clerk of the Board, Employees' Compensation Appeals Board, 200 Constitution Avenue, NW, Washington, DC 20210.

**CONTESTING RECORD PROCEDURES:**

Individuals who wish to contest their records should notify the System Manager in writing.

**RECORD SOURCE CATEGORIES:**

Records in this system contain information supplied by the appellant and Government officials involved in the appeals proceedings.

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

Not applicable.

**DOL/ECAB-02****SYSTEM NAME:**

Employees' Compensation Appeals Board Disposition Records.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

U.S. Department of Labor, Employees' Compensation Appeals Board, 200 Constitution Avenue, NW, Washington, DC 20210.

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

Former or current Federal employees who appealed final decisions of the Office of Workers' Compensation Programs.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Final decisions and/or orders determining appeals of benefits claims under the Federal Employees' Compensation Act.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 8101 et seq.

**PURPOSE(S):**

To maintain formal records of appeal dispositions determined by the Employees' Compensation Appeals Board.

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

Board final decisions and/or orders are public documents and are accessible to interested persons. Precedent setting decisions are sent to the U.S. Government Printing Office (GPO) for publication in an annual Volume, which is available for sale from the GPO, and deposited in over 500 Federal Depository Libraries throughout the country.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

None.

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

Recent decisions are maintained in hard copy form in binders in the ECAB library; older decisions are published in bound volumes. Published volumes are also on deposit in designated Federal Depository Libraries, and on the ECAB'S Internet Website.

**RETRIEVABILITY:**

Published decisions are indexed by appellant's last name, by category of medical condition and legal issue, by

ECAB Docket number and by ECAB Volume number and page. Unpublished decisions are indexed by ECAB Docket number, and can be cross-referenced to appellant's name.

**SAFEGUARDS:**

Access to ECAB Library and Decision Files is by request and available during regular office hours.

**RETENTION AND DISPOSAL:**

Records are retained permanently.

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

Chairman, Employees' Compensation Appeals Board, 200 Constitution Avenue, NW, Washington, DC 20210.

**NOTIFICATION PROCEDURE:**

Inquiries should be in the form of a written, signed request to the System Manager at the above address and should specify the ECAB Docket number, name of appellant and approximate date of disposition. Alternatively, if disposition is known to be a published decision, inquiry should specify the Volume and page number.

**RECORD ACCESS PROCEDURES:**

Information or assistance regarding access to ECAB Disposition Records may be obtained by contacting the Clerk of the Board, Employees' Compensation Appeals Board, 200 Constitution Avenue, NW, Washington, DC.

**CONTESTING RECORD PROCEDURES:**

Appellants who wish to contest their Disposition Records should notify the System Manager in writing.

**RECORD SOURCE CATEGORIES:**

Records in this system are composed of formal, final decisions and/or orders of the Employees' Compensation Appeals Board.

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

None.

**DOL/ESA-2****SYSTEM NAME:**

Office of Federal Contract Compliance Programs Complaint Case Files.

**SECURITY CLASSIFICATION:**

Unclassified.

**SYSTEM LOCATION:**

Office of Federal Contract Compliance Programs (OFFCP), 200 Constitution Avenue, NW, Washington, DC 20210, and OFCCP Regional and District Offices (see the Appendix to this document for addresses).

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

Individuals, classes of individuals or representatives authorized to act on behalf of individuals or classes of individuals who have filed complaints of discrimination.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Medical records, investigative reports and materials, complaints, contract coverage information, employment applications, time and attendance records.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

Executive Order 11246, as amended; the Vietnam Era Veterans' Readjustment Assistance Act of 1974, as amended, 38 U.S.C. 4212, section 503 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. 793.

**PURPOSE(S):**

To maintain information that is used to investigate and to resolve complaints of discrimination filed by individuals under Executive Order 11246, as amended; the Veteran Era Veterans' Readjustment Assistance Act of 1974, amended, 38 U.S.C. 4212; and section 503 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. 793.

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

These records and information in these records may be disclosed to:

- (1) The Equal Employment Opportunity Commission, Department of Justice, or other Federal, State or local agencies with jurisdiction over a complaint, when relevant and necessary for investigatory, conciliation or enforcement purposes;
- (2) To Federal contractors and subcontractors against whom a complaint is filed, including providing a copy of the complaint or a summary for purposes of notice;
- (3) A physician or medical provider records or information for the purpose of evaluating the complaint or medical records in cases involving 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:**

Power files/Magnetic tape/Manual files.

**RETRIEVABILITY:**

By name or OFCCP control number.

**SAFEGUARDS:**

Locked files and computer access codes.

**RETENTION AND DISPOSAL:**

Active files retained 2-3 years from date of closure, referred to a Federal Records Center for an additional 4 years then they are destroyed.

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

Deputy Assistant Secretary for Federal Contract Compliance, 200 Constitution Avenue, NW, Washington, DC 20210; Regional Directors for OFCCP, see The Appendix to this document for addresses.

**NOTIFICATION PROCEDURE:**

Individuals, wishing to inquire whether this system of records contains information about them, should contact the appropriate system manager. Such person should provide his or her full name, date of birth, and signature.

**RECORD ACCESS PROCEDURES:**

An individual or organization representing an individual wishing to gain access to records shall follow guidelines set forth under the notification procedures summarized above.

**CONTESTING RECORD PROCEDURES:**

Individuals wishing to contest information in their files may write the appropriate system manager at the specified address, 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 for the correction(s).

**RECORD SOURCE CATEGORIES:**

Individual and class action complainants, employers, co-workers, witnesses, State rehabilitation agencies, physicians, and other health care providers.

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

This system contains complaints and investigative files compiled during the course of complaint investigations and compliance reviews. In accordance with paragraph (k)(2) of the Privacy Act, 5 U.S.C. 552a(k)(2), these files have been exempted from subsections (c)(3), (d), (e)(1), (e)(4)(G), (H), and (I) and (f) of the Act. The disclosure of information contained in these files may in some circumstances discourage non-management persons who have knowledge of facts and circumstances pertinent to charges from giving statements or cooperating in investigations. In addition, disclosure of

medical records contained in these files may adversely affect the health of individuals without guidance of a responsible physician.

**DOL/ESA-5**

**SYSTEM NAME:**

Office of Workers' Compensation Programs, Black Lung Antidiscrimination Files.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

Office of Workers' Compensation Programs, Division of Coal Mine Workers' Compensation, Department of Labor Building, 200 Constitution Avenue, NW, Washington, DC 20210.

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

Individuals filing complaints against employers on account of discharge or other acts of discrimination by reason of pneumoconiosis disease.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Individual correspondence, investigative records, employment records, payroll records, medical reports, any other documents or reports pertaining to an individual's work history, education, medical condition or hiring practices of the employer.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

30 U.S.C. 938.

**PURPOSE(S):**

To maintain records that are used to process complaints against employers who discharge or otherwise discriminate against individuals because they suffer from pneumoconiosis disease.

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

Disclosure of file content may be made to any party in interest to the complaint, including the coal company, the claimant, medical providers, and legal representatives of any party for purposes related to the complaint.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

Not applicable.

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

**STORAGE:**

Manual files.

**RETRIEVABILITY:**

Coal miner's name and social security number.

**SAFEGUARDS:**

Files located in restricted area of a Federal building under guard by security officers.

**RETENTION AND DISPOSAL:**

Files are destroyed 10 years after case is closed.

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

Director, Division of Coal Mine Workers' Compensation, Department of Labor 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 at the above address. Individuals must furnish their name, address and signature.

**RECORD ACCESS PROCEDURES:**

Individuals wishing to request access to their records should contact the system manager at the above address. Individuals must furnish their name, address and signature.

**CONTESTING RECORD PROCEDURES:**

Individuals wishing to request amendment of any record should contact the system manager at the above address. Individuals must furnish their name, address and signature.

**RECORD SOURCE CATEGORIES:**

Individuals, employers, medical providers and investigators.

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

Not applicable.

**DOL/ESA-6**

**SYSTEM NAME: OFFICE OF WORKERS' COMPENSATION, BLACK LUNG**

Benefits Claim File.

**SECURITY CLASSIFICATION:**

Unclassified.

**SYSTEM LOCATION:**

Office of Workers' Compensation Programs, Division of Coal Mine Workers' Compensation, Department of Labor Building, 200 Constitution Avenue, NW, Washington, DC 20210, and district offices (see addresses in the Appendix to this document).

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

Individuals filing claims for black lung (pneumoconiosis) benefits under the provisions of Black Lung Benefits Act, as amended, including miners, and their surviving spouses, children, dependent parents and siblings.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Personal (name, date of birth, social security number, claim type, miner's date of death), medical, and financial. Information gathered in connection with investigations concerning possible violations of Federal law, whether civil or criminal, under the authorizing legislation and related Acts. This record also contains investigative records and the work product of the Department of Labor and other governmental personnel and consultants involved in the investigations. If the individual has received benefits to which he or she is not entitled, the system may contain consumer credit reports 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 claim filed by an individual covered by this system, and other records and reports relating to the implementation of the Debt Collection Act of 1982 including any investigative records or administrative review matters. The individual records listed herein are included only as pertinent to the individual claimant.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

30 U.S.C. 901 et seq., 20 CFR 715.1 et seq., 20 CFR 720.1 et seq., 20 CFR 725.1 et seq.

**PURPOSE(S):**

To maintain records that are used to process all aspects of claims for black lung (pneumoconiosis) benefits under the provisions of the Black Lung Benefits Act, as amended, including claims filed by miners and their surviving spouses, children, dependent parents and siblings. These records are also used to process the recoupment of overpayments under the Act.

**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 of this document, disclosure of relevant and necessary information may be made to the following:

a. Mine operators (and/or any party providing the operator with benefits insurance) who have been determined potentially liable for the claim at any time after the filing of a claim for Black Lung Benefits for the purpose of determining liability for payment.

b. State workers' compensation agencies and the Social Security Administration for the purpose of determining offsets as specified under the Act.

c. Doctors and medical services providers for the purpose of obtaining medical evaluations, physical rehabilitation or other services.

d. Representatives of the claimant for the purpose of processing the claim, responsible operator and program representation on contested issues.

e. Labor unions and other voluntary employee associations of which the claimant is a member for the purpose of assisting the member.

f. Contractors providing automated data processing services to the Department of Labor, or to any agency or entity to whom release is authorized, where the contractor is providing a service relating to the purpose for which the information can be released.

g. Federal, state or local agencies if necessary to obtain information relevant to a Departmental decision concerning the determination of initial or continuing eligibility for program benefits, including whether benefits have been or are being paid improperly; whether dual benefits prohibited under any federal or state law are being paid; and including salary offset and debt collection procedures, including any action required by the Debt Collection Act of 1982.

h. Debt collection agency that DOL has contracted for collection services to recover indebtedness owed to the United States.

i. Internal Revenue Service for the purpose of obtaining taxpayer mailing addresses in order to locate such taxpayers to collect, compromise, or write-off a Federal claim against the taxpayer; discharging an indebtedness owed by an individual.

j. Credit Bureaus for the purpose of receiving consumer credit reports identifying the assets, liabilities, income and expenses of a debtor to ascertain the debtor's ability to pay a debt and to establish a payment schedule.

**Note:** Disclosure to a claimant or a person who is duly authorized to act on the claimant's or beneficiary's behalf, of information contained in the file may be made over the telephone. Disclosure over the telephone will only be done where the requestor provides appropriate identifying information to OWCP personnel. Telephonic disclosure of information is essential to allow OWCP to efficiently perform its functions in adjudicating and servicing claims.

**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, are disclosed pursuant to 5 U.S.C.

552a(b)(12) to consumer reporting agencies as defined by the Fair Credit Reporting Act (15 U.S.C. 1681a(f), or in accordance with the Federal Claims Collection Act of 1966 as amended (31 U.S.C. 3711(e) 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:**

Case file documents, both original and copies, in manual files.

**RETRIEVABILITY:**

Coal miner's name, social security number, and claimant's social security number different from miner's.

**SAFEGUARDS:**

Files are located in the restricted area of a Federal building under guard by security officers.

**RETENTION AND DISPOSAL:**

Approved claims files are destroyed 10 years after death of last beneficiary. Denied claims are destroyed 30 years after final denial.

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

Director, Division of Coal Mine Workers' Compensation, Department of Labor Building, Room C-3520, 200 Constitution Avenue, NW, Washington, DC 20210, and district office directors (see addresses 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 above address, or district office directors. (See addresses in the Appendix to this document.) Individuals must furnish claimant's name, and signature.

**RECORD ACCESS PROCEDURE:**

Individuals wishing to request access to non-exempt records should contact the appropriate office listed in the Notification Procedure section. The individual must furnish his or her name, signature and address.

**CONTESTING RECORD PROCEDURES:**

Specific materials in this system have been exempted from Privacy Act provisions (5 U.S.C. 552a(d)), regarding access to records. The section of this notice titled "Systems Exempted from Certain Provisions of the Act" indicates the kinds of materials exempted from access and the reasons for exempting them from access. Individuals wishing to request amendment of any non-

exempt records should contact the appropriate office listed in the Notification Procedure section.

Individuals must furnish their name, address and signature.

**RECORD SOURCE CATEGORIES:**

Individuals, organizations, and investigators.

**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/ESA-15**

**SYSTEM NAME:**

Office of Workers' Compensation Programs, Longshore and Harbor Workers' Compensation Act Case Files.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

Division of Longshore and Harbor Workers' Compensation, Office of Workers' Compensation Programs, Washington, DC 20210, and district offices of the Office of Workers' Compensation Programs set forth in the Appendix to this document.

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

Employees injured or killed while working in private industry who are covered by the provisions of the Longshore and Harbor Workers' Compensation Act, the Non-Appropriated Fund Instrumentalities Act, the Defense Base Act, the War Hazards Act, and the DC Workers' Compensation Act, referred to collectively herein as the Longshore and Harbor Workers' Compensation Act (LHWCA).

**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 employees covered under the LHWCA or their survivors seeking benefits under the LHWCA; forms authorizing medical care and treatment; other medical records and reports; bills and other payments records; compensation payments records (including section 8(f) payment records); section 8(f) applications filed by the employer; formal orders for or against the payment of benefits; transcripts of hearings conducted; and any other medical employer 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 insurance, banking and employment; articles from newspapers and other publications; information relating to other benefits (financial and otherwise) the claimant or employer may be entitled to; and information received from various investigative agencies concerning possible violations of Federal civil or criminal law.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

33 U.S.C. 901 et seq. (20 CFR parts 701 et seq.); 36 DC Code 501 et seq.; 42 U.S.C. 1651 et seq.; 43 U.S.C. 1331 et seq.; 5 U.S.C. 8171 et seq.

**PURPOSE(S):**

To maintain records on the actions of insurance carriers, employers, and injured workers with respect to injuries reported under the Longshore and Harbor Workers' Compensation Act and related Acts, to ensure that eligible claimants receive appropriate benefits as provided by the Act.

**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, disclosure of information from this system of records may also be made to the following individuals and entities for the purposes noted when the purpose of the disclosure is compatible with the purpose for which the information was collected:

a. The employer or its representatives, including third-party administrators, and/or any party providing the

employer with workers' compensation insurance coverage since the employer and insurance carrier are parties-in-interest to all actions on a case, for the purpose of assisting in the litigation of the claim, at any time after report of the injury or report of the onset of the occupational illness, or the filing of a notice of injury or claim related to such injury or occupational illness.

b. Doctors, pharmacies, and other health care providers for the purpose of treating the claimant, conducting medical examinations, physical rehabilitation or other services or obtaining medical evaluations.

c. Public or private rehabilitation agencies to whom the injured worker has been referred for vocational rehabilitation services so that they may properly evaluate the injured worker's experience, physical limitations and future employment capabilities.

d. Federal, state and local agencies conducting similar or related investigations to verify whether prohibited dual benefits were provided, whether benefits have been or are being paid properly, including whether dual benefits prohibited by federal law are being paid; salary offset and debt collection procedures including those actions required by the Debt Collection Act of 1982.

e. Labor unions and other voluntary associations from which the claimant has requested assistance in connection with the processing of the LHWCA claim.

f. Attorneys or other persons authorized to represent the interests of the LHWCA claimant in connection with a claim for benefits under the LHWCA, and/or a LHWCA beneficiary in connection with a claim for damages filed against a third party.

g. Internal Revenue Service for the purpose of obtaining taxpayer mailing addresses in order to locate a taxpayer to collect, compromise, or write-off a Federal claim against such taxpayer; discharging an indebtedness owed by an individual.

h. Trust funds that have demonstrated to the OWCP a right to a lien under 33 U.S.C. 917, for the purpose of permitting the trust funds to identify potential entitlement to payments upon which the trust funds may execute the lien.

**Note:** Disclosure of information contained in the file to the claimant, a person who is duly authorized to act on his/her behalf, or to others to whom disclosure is authorized by these routine uses, may be made over the telephone. Disclosure over the telephone will only be done where the requestor provides appropriate identifying information. Telephonic disclosure of information is essential to permit efficient administration and adjudication of claims.

**Note:** Pursuant to 5 U.S.C. 552a(b)(1), information from this system of records is disclosed to members and staff of the Office of Administrative Law Judges, the Benefits Review Board, 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:**

None.

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

Case files are maintained in manual files and magnetic tapes.

**RETRIEVABILITY:**

Case files are retrieved after identification by coded file number, which is cross-referenced to injured worker by name.

**SAFEGUARDS:**

Files are maintained under supervision of OWCP personnel during normal working hours. Files and magnetic tapes are maintained in locked offices after normal working hours. Confidential passwords are required for access to automated records.

**RETENTION AND DISPOSAL:**

Time retained varies by type of case, ranging from lost-time disability cases, in which records are destroyed 20 years after the case is closed, to other cases where the last possible beneficiary has died, in which the records are destroyed 6 years and 3 months after the death of such beneficiary. "No Lost Time" cases are destroyed three years after the end of the fiscal year during which the related report was received.

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

Director for Longshore and Harbor Workers' Compensation, U.S. Department of Labor, 200 Constitution Avenue, NW, Washington, DC 20210; and District Directors at the district offices set forth in the Appendix.

**NOTIFICATION PROCEDURE:**

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

**RECORD ACCESS PROCEDURES:**

Individuals wishing to request access to records should contact the system manager indicated above.

**CONTESTING RECORD PROCEDURE:**

Individuals wishing to contest the contents of a record should contact the appropriate System Manager.

**RECORD SOURCE CATEGORIES:**

Information is obtained from injured employees, their qualified dependents, employers, insurance carriers, physicians, medical facilities, educational institutions, attorneys, and State, Federal, and private vocational rehabilitation agencies.

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

None.

**DOL/ESA-24****SYSTEM NAME:**

Office of Workers' Compensation Programs, Longshore and Harbor Workers' Compensation Act Special Fund System.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

Division of Longshore and Harbor Workers' Compensation, Office of Workers' Compensation Programs, 200 Constitution Avenue, NW, Washington, DC 20210.

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

Persons receiving compensation and related benefits under the Longshore and Harbor Workers' Compensation Act, the Non-Appropriated Fund Instrumentalities Act, the Defense Base Act, the War Hazards Act, and the DC Workers' Compensation Act, referred to collectively herein as the Longshore and Harbor Workers' Compensation Act (LHWCA).

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Medical and vocational rehabilitation reports, bills, vouchers and records of payment for compensation and related benefits, statements of employment status, and formal orders for payment of compensation, and U.S. Treasury Records.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

33 U.S.C. 901 et seq. (20 CFR parts 701 et seq.); 36 DC Code 501 et seq.; 42 U.S.C. 1651 et seq.; 43 U.S.C. 1331 et seq.; 5 U.S.C. 8171 et seq.;

**PURPOSE(S):**

This system provides a record of payments to claimants, their qualified dependents, or providers of services to claimants from the Special Fund established pursuant to Section 44 of the Act.

**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, disclosure of information from this system of records may also be made to the following individuals and entities for the purposes noted when the purpose of the disclosure is compatible with the purpose for which the information was collected:

a. The employer or employer's representatives, including third-party administrators, and/or any party providing the employer with workers' compensation insurance coverage since the employer and insurance carrier are parties-in-interest to all actions on a case, for the purpose of assisting in the litigation of the claim, at any time after report of the injury or report of the onset of the occupational illness, or the filing of a notice of injury or claim related to such injury or occupational illness.

b. Doctors, pharmacies, and other health care providers for the purpose of treating the claimant, conducting medical examinations, physical rehabilitation or other services or obtaining medical evaluations.

c. Public or private rehabilitation agencies to whom the injured worker has been referred for vocational rehabilitation services so that they may properly evaluate the injured worker's experience, physical limitations and future employment capabilities.

d. Federal, state and local agencies conducting similar or related investigations to verify whether prohibited dual benefits were provided, whether benefits have been or are being paid properly, including whether dual benefits prohibited by federal law are being paid; salary offset and debt collection procedures including those actions required by the Debt Collection Act of 1982.

e. Labor unions and other voluntary associations from which the claimant has requested assistance with the processing of the LHWCA claim.

f. Internal Revenue Service for the purpose of obtaining taxpayer mailing addresses in order to locate such taxpayer to collect, compromise, or write-off a Federal claim against the taxpayer; discharging an indebtedness owed by an individual.

g. Trust funds that have demonstrated to the OWCP a right to a lien under 33 U.S.C. 917, for the purpose of permitting the trust funds to identify potential entitlement to payments upon which the trust funds may execute the lien.

h. To individuals, and their attorneys and other representatives, and government agencies, seeking to enforce a legal obligation on behalf of such individual, 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 the file to the claimant, a person who is duly authorized to act on his/her behalf, or to others to whom disclosure is authorized by these routine uses, may be made over the telephone. Disclosure over the telephone will only be done where the requestor provides appropriate identifying information. Telephonic disclosure of information is essential to permit efficient administration and adjudication of claims.

**Note:** Information from this system of records is disclosed to members and staff of the Office of Administrative Law Judges, the Benefits Review Board, 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:**

None.

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

Case files are maintained in manual files and magnetic tapes.

**RETRIEVABILITY:**

Case files are retrieved by social security number, which is cross-referenced to injured worker by name.

**SAFEGUARDS:**

Files are maintained under supervision of OWCP personnel during normal working hours. Confidential passwords are required for access to automated records. Files and magnetic tapes are in Federal office building.

**RETENTION AND DISPOSAL:**

Files are destroyed 7 years after last payment is made.

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

Director for Longshore and Harbor Workers' Compensation, Office of Workers' Compensation Programs, 200 Constitution Avenue, NW, Washington, DC 20210.

**NOTIFICATION PROCEDURE:**

Requests, including name and case number, if known, should be addressed to the System Manager.



**RECORD ACCESS PROCEDURES:**

Individuals wishing to request access to records should contact the System Manager indicated above.

**CONTESTING RECORD PROCEDURE:**

Individuals wishing to contest the contents of a record should contact the System Manager indicated above.

**RECORD SOURCE CATEGORIES:**

The system obtains information from injured employees, their qualified dependents, employers, insurance carriers, physicians, medical facilities, educational institutions, attorneys, and State, Federal, and private vocational rehabilitation agencies.

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

None.

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

Office of Federal Contract Compliance Programs, Executive Management Information System (OFCCP/EIS) which includes the Case Management System (CMS), and Time Reporting Information System (TRIS).

**SECURITY CLASSIFICATION:**

Unclassified.

**SYSTEM LOCATION:**

OFCCP, Department of Labor, 200 Constitution Avenue, NW, Washington, DC 20210; Ten Regional Offices, see the Appendix to this document for addresses.

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

Individuals filing complaints of employment discrimination by Federal Contractors and Compliance Officers.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Listing of hours utilized to perform OFCCP program responsibilities. Listing of complaints filed by individuals alleging employment and listing of hours utilized to perform OFCCP program responsibilities.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

Executive Order 11246, as amended; the Vietnam Era Veterans' Readjustment Assistance Act of 1974, as amended, 38 U.S.C. 2012; section 503 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. 793.

**PURPOSE(S):**

The Case Management System is the data entry portion of OFCCP's core case management and management information system. OFCCP Executive Information System (OFEIS) makes up

the reporting side of the total system. The Office of Contract Compliance Programs Case Management System (OFCMS) provides the umbrella under which numerous applications can be accessed. The purposes of the systems are: To track and monitor by means of an automated data base complaint investigations of employment discrimination by Federal contractors. To provide OFCCP Managers with a viable means of tracking the number of hours used in performing OFCCP program responsibilities. To track the number of hours utilized by compliance officers in performing their assigned program duties and responsibilities.

**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 SYSTEM:****STORAGE:**

Manual files for working copies of source documents and magnetic tapes and disks for central computer processing.

**RETRIEVABILITY:**

By the name of the complainant, OFCCP control number, contractor establishment name and number. By identification numbers assigned to each compliance officer.

**SAFEGUARDS:**

Files are locked except during working hours, and only authorized personnel have access to files. Computer systems are restricted to authorized operators and each subsystem has multiple layers of password protection depending upon sensitivity of data.

**RETENTION AND DISPOSAL:**

Inactive records retained in system for two years from last date of action on record before being purged to history files where they are stored for three years. Transfer to NARA and destroy five years after transfer.

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

Director, OFCCP, Room C-3325, 200 Constitution Avenue, NW, Washington, DC 20210; Regional Directors for OFCCP, see Appendix I to this document for Addresses.

**NOTIFICATION PROCEDURES:**

Individuals wishing to inquire whether this system of records contains information about them should contact the appropriate system manager or the Regional Office servicing the state where they are employed (see list of the Regional Office addresses in Appendix). Such person should provide his or her full name, date of birth, and signature.

**RECORD ACCESS PROCEDURES:**

A request for access shall be mailed or presented to the appropriate system manager at the address listed above. Individuals must furnish the following information for their records to be identified: (a) Name and (b) verification of identity as required by the regulations implementing the Privacy Act of 1974, at 29 CFR 71.2.

**CONTESTING RECORD PROCEDURES:**

Individuals wishing to contest information in their files may write the appropriate system manager at the specified address, reasonably identifying the records pertaining to them, the information which is being contested in that record, the corrective action(s) being sought, and the reason for the correction(s). See also 29 CFR 71.9.

**RECORD SOURCE CATEGORIES:**

OFCCP personnel working in district and regional offices.

**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 the source would be held in confidence.

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

Office of Workers' Compensation Programs, Longshore and Harbor Workers' Compensation Act Investigation Files.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

Division of Longshore and Harbor Workers' Compensation, Office of Workers' Compensation Programs, Washington, DC 20210, and district offices of the Office of Workers' Compensation Programs set forth in the Appendix to this document.

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

Individuals filing claims for workers' compensation benefits under the Longshore and Harbor Workers' Compensation Act, the Non-Appropriated Fund Instrumentalities Act, the Defense Base Act, the War Hazards Act, and the DC Workers' Compensation Act, referred to collectively herein as the Longshore and Harbor Workers' Compensation Act (LHWCA); individuals providing medical and other services to the Division; employees of insurance companies and of medical and other services providers to claimants; and other persons suspected of violations of law under the Act, including related civil and criminal provisions.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Records which contain information gathered in connection with investigations concerning possible violations of Federal law, whether civil or criminal, under the LHWCA. This system also contains the work product of the Department of Labor and other government personnel and consultants involved in the investigations.

**AUTHORITY FOR MAINTENANCE OF SYSTEM:**

33 U.S.C. 901 et seq. (20 CFR parts 701 et seq.); 36 DC Code 501 et seq.; 42 U.S.C. 1651 et seq.; 43 U.S.C. 1331 et seq.; 5 U.S.C. 8171 et seq.

**PURPOSE(S):**

To maintain records for the purpose of assisting in determinations of possible violations of Federal law, whether civil or criminal, in connection with reported injuries under the LHWCA.

**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, disclosure of relevant and necessary information from this system of records may also be made to the following individuals and entities for the purposes noted when the purpose of the disclosure is compatible with the purpose for which the information was collected: Internal Revenue Service, for the purpose of obtaining taxpayer mailing addresses in

order to locate a taxpayer to collect, compromise, or write-off a Federal claim against such taxpayer; discharging an indebtedness owed by an individual.

**Note:** Pursuant to 5 U.S.C. 552a(b)(1), information from this system of records is disclosed to members and staff of the Office of Administrative Law Judges, the Benefits Review Board, 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:**

None.

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

Records are maintained in manual files.

**RETRIEVABILITY:**

Records are retrieved by name of individual being investigated.

**SAFEGUARDS:**

Files are maintained under the supervision of OWCP personnel and access is provided only to authorized personnel.

**RETENTION AND DISPOSAL:**

Time retained varies by type of compensation case involved, and the investigative file is retained according to the same schedule as the particular compensation case to which it relates. For example, if the investigative file is about a lost-time case, it is transferred to the Federal Records Center 2 years after the related compensation case is closed, and destroyed 20 years after the case is closed. If the investigative file is about a death case, it is retained in the office as long as there are qualified dependents, and destroyed 6 years, 3 months after final closing. "No Lost Time cases are destroyed three years after the end of the fiscal year during which the related report was received.

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

Director for Longshore and Harbor Workers' Compensation, Office of Workers' Compensation Programs, 200 Constitution Avenue, NW, Washington, DC 20210, and District Directors in the district offices of the Office of Workers' Compensation Programs set forth in the Appendix to this document.

**NOTIFICATION PROCEDURE:**

Requests, including name of individual being investigated, should be addressed to the System Manager.

**RECORD ACCESS PROCEDURES:**

Individuals wishing to request access to records should contact the System Manager indicated above.

**CONTESTING RECORD PROCEDURE:**

Individuals wishing to contest the contents of a record should contact the System Manager.

**RECORD SOURCE CATEGORIES:**

Records are from Division claim and payment files (DOL/ESA-15 and DOL/ESA-24) and from employees, insurers, service providers; and information received from parties leading to the opening of an investigation, or from interviews held during the course of an investigation.

**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/ESA-27****SYSTEM NAME:**

Office of Workers' Compensation Programs, Longshore and Harbor Workers' Compensation Act Claimant Representatives.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

Division of Longshore and Harbor Workers' Compensation, Office of Workers' Compensation Programs, Washington, DC 20210, and district offices of the Office of Workers' Compensation Programs set forth in the Appendix to this document.

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

Individuals alleged to have violated the provisions of the Longshore and Harbor Workers' Compensation Act and

its implementing regulations relating to representation of claimants/beneficiaries before the Department of Labor, those found to have committed such violations and who have been disqualified, and those who are investigated but not disqualified. This system would also cover those persons who have been reinstated as qualified claimant representatives.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Records in the system will consist of information such as the representative's name and address, the names and addresses of affected claimants/beneficiaries, copies of relevant documents obtained from claimant/beneficiary files relating to the issue of representation; all documents received or created as a result of the investigation of and/or hearing on the alleged violation of the Longshore Act and/or its regulations relating to representation, including investigations conducted by the DOL Office of Inspector General or other agency; and copies of documents notifying the representative and other interested persons of the disqualification.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

Longshore and Harbor Workers' Compensation Act, 33 U.S.C. 931(b)(2)(B).

**PURPOSE(S):**

These records contain information on activities—including billing—relating to representation of claimants/beneficiaries, including documents relating to the debarment of representatives under other Federal or state programs.

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

a. A claimant/beneficiary for the purpose of informing him/her that his/her representative has been disqualified from further representation under the Longshore Act.

b. Employers, insurance carriers, state bar disciplinary authorities, and the general public, for the purpose of providing information concerning the qualification of person(s) to act as a claimant representative under the Act.

c. Federal, state or local agency maintaining pertinent records, if necessary to obtain information relevant to a Departmental decision relating to debarment actions.

**Note:** Disclosure of information contained in the file of the claimant, a person who is duly authorized to act on his/her behalf, or to others to whom disclosure is authorized by these routine uses, may be made over the telephone. Disclosure over the telephone will only be done where the requestor provides appropriate identifying information. Telephonic disclosure of information is essential to permit efficient administration and adjudication of claims.

Pursuant to 5 U.S.C. 552a(b)(1), information from this system of records is disclosed to members and staff of the Office of Administrative Law Judges, the Benefits Review Board, 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:**

None.

**POLICIES AND PROCEDURES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THIS SYSTEM:**

**STORAGE:**

The information collected in connection with complaints is kept in manual files.

**RETRIEVABILITY:**

The records are retrieved by the name of the representative.

**SAFEGUARDS:**

Records are stored in locked file cabinets.

**RETENTION AND DISPOSAL:**

File is retained in the office for three years after the debarment action is final and then transferred to the Federal Records Center, and destroyed thirty years after the debarment action is final. Where the period of exclusion is defined as a set period of time, the file will be retained two years after the period of exclusion expires (or the individual is otherwise reinstated), then transferred to the Federal Records Center, and destroyed thirty years after the debarment action is final.

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

Director for Longshore and Harbor Workers' Compensation Act, Office of Workers' Compensation Programs, 200 Constitution Avenue, NW, Washington, DC 20210, and District Directors in district offices set forth in the Appendix.

**NOTIFICATION PROCEDURE:**

Requests, including name, date of injury, employer at the time of injury, and case file number, if known, should be addressed to the appropriate system manager indicated above.

**RECORD ACCESS PROCEDURES:**

Individuals wishing to request access to records should contact the appropriate system manager listed above.

**CONTESTING RECORD PROCEDURE:**

Individuals wishing to contest the contents of a record should contact the System Manager.

**RECORD SOURCE CATEGORIES:**

Information in this system is obtained from employees, employers, insurance carriers, members of the public, agency investigative reports, and from other DOL systems of records.

**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/ESA-28**

**SYSTEM NAME:**

Office of Workers' Compensation Programs, Physicians and Health Care Providers Excluded under the Longshore Act.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

Division of Longshore and Harbor Workers' Compensation, Office of Workers' Compensation Programs, Washington, DC 20210, and district offices of the Office of Workers' Compensation Programs set forth in the Appendix to this document.

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

Providers of medical goods and services, including physicians, hospitals, and providers of medical support services or supplies excluded or considered for exclusion from payment under the Longshore Act, 33 U.S.C. 907(c).

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Copies of letters, lists, and documents from Federal and state agencies concerning the administrative debarment of providers from participation in programs providing benefits similar to those of the Longshore and Harbor Workers' Compensation Act and their reinstatement; materials concerning possible fraud or abuse which could lead to exclusion of a provider; documents relative to reinstatement of providers; materials concerning the conviction of providers for fraudulent activities in connection with any Federal or state program for which payments are made to providers for similar medical services; all letters, memoranda, and other documents regarding the consideration of a provider's exclusion, the actual exclusion, or reinstatement under the provisions of 20 CFR 702.431 et seq.; copies of all documents in a claimant's file relating to medical care and/or treatment, including bills for such services; as well as letters, memoranda, and other documents obtained during investigations, hearings, and other administrative proceedings concerning exclusion for fraud or abuse, as well as reinstatement, and recommendations and decisions; lists of excluded providers released by the OWCP.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

Longshore and Harbor Workers' Compensation Act, 33 U.S.C. 901, 907(c).

**PURPOSE(S):**

To maintain records to determine the propriety of instituting debarment actions under the Longshore Act. These records also provide information on treatment, billing and other aspects of a medical provider's actions, and/or documentation relating to the debarment of the medical care provider under another Federal or state program.

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

In addition to those universal routine uses listed 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 compatible with the purpose for which the information is collected:

a. Federal, state or local government agencies, state licensing boards, professional organizations, claimants, patients, employers, insurance companies, and any other entities or individuals, for the purpose of identifying an excluded or reinstated provider, to ensure that authorization is not issued nor payment made to an excluded provider, and for the purpose of providing notice that a formerly excluded provider has been reinstated.

b. Federal, state or local government agencies, state licensing boards, professional organizations, claimants, patients, employers, insurance companies, and any other entities or individuals, for the purpose of obtaining information necessary to ensure that the list of excluded providers is correct, useful, and updated, as appropriate, and for the purpose of obtaining information relevant to a Departmental decision regarding a debarment action. This routine use encompasses the disclosure of such information which will enable the Department to properly verify the identity of a provider, to identify the nature of a violation, and the penalty imposed for such violation.

**Note:** Disclosure of information contained in the file to the claimant, a person who is duly authorized to act on his/her behalf, or to others to whom disclosure is authorized by these routine uses, may be made over the telephone. Disclosure over the telephone will only be done where the requestor provides appropriate identifying information. Telephonic disclosure of information is essential to permit efficient administration and adjudication of claims.

**Note:** 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 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:**

None.

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

The records are in manual files, magnetic tapes or other computer storage media, or on computer printouts.

**RETRIEVABILITY:**

Material is maintained by the name of the provider.

**SAFEGUARDS:**

Material in the possession of the Office of Workers' Compensation Programs and its contractors will be, when not in use, kept in closed file cabinets, appropriate lockers and storage areas, etc.

**RETENTION AND DISPOSAL:**

File is retained in the office for three years after the debarment action is final and then transferred to the Federal Records Center, and destroyed thirty years after the debarment action is final. Where the period of exclusion is defined as a set period of time, the file will be retained two years after the period of exclusion expires (or the individual is otherwise reinstated), then transferred to the Federal Records Center, and destroyed thirty years after the debarment action is final.

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

Director for Longshore and Harbor Workers' Compensation Act, Office of Workers' Compensation Programs, 200 Constitution Avenue, NW, Washington, DC 20210, and District Directors in the district offices set forth in the Appendix to this document.

**NOTIFICATION PROCEDURE:**

An individual wishing to inquire whether this system of records contains information about him/her may write the system manager at the address above. In order for the record to be located, the individual must provide his or her full name, date of birth, and signature.

**RECORD ACCESS PROCEDURE:**

Any individual seeking access to non-exempt information about a record within this system of records may write the appropriate system manager, and arrangements will be made to provide review of the file. In order for the record to be located, the individual must provide his or her full name, date of birth, and signature.

**CONTESTING RECORD PROCEDURE:**

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 system manager. In order for the record to be located, the

individual must provide his or her full name, date of birth, and signature. Individuals requesting amendment of records must comply with the Department's Privacy Act regulations at 29 CFR 71.1 and 71.9.

**RECORD SOURCE CATEGORIES:**

Information in this system is obtained from Federal, state or local government agencies, state licensing boards, professional organizations, claimants, patients, employers, insurance companies, any other entities or individuals, public documents, and newspapers, as well as from other Department of Labor systems of records.

**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/ESA-29**

**SYSTEM NAME:**

Office of Workers' Compensation Programs, Physicians and Health Care Providers Excluded under the Federal Employees' Compensation Act.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

The Division of Federal Employees' Compensation, Office of Workers' Compensation Programs, Washington, DC 20210, and district offices of the Office of Workers' Compensation Programs set forth in the Appendix to this document.

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

Providers of medical goods and services, including physicians, hospitals, and providers of medical support services or supplies excluded or

considered for exclusion from payment under the Federal Employees' Compensation Act for fraud or abuse (20 CFR 10.815-826).

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Copies of letters, lists and documents from Federal and state agencies concerning the administrative debarment of providers from participation in programs providing benefits similar to those of the Federal Employees' Compensation Act and their reinstatement; materials concerning possible fraud or abuse which could lead to exclusion of a provider; documents relative to reinstatement of providers, materials concerning the conviction of providers for fraudulent activities in connection with any Federal or state program for which payments are made to providers for similar medical services; all letters, memoranda, and other documents regarding the consideration of a provider's exclusion, the actual exclusion, or reinstatement under the provisions of 20 CFR 10.815-826; copies of all documents in a claim file relating to medical care and/or treatment including bills for such services, as well as letters, memoranda, and other documents obtained during investigations, hearings and other administrative proceedings concerning exclusion for fraud or abuse, as well as reinstatement, along with recommendations and decisions; lists of excluded providers released by the OWCP.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

Federal Employees' Compensation Act (5 U.S.C. 8101 et seq.), and Title 20 CFR part 10.

**PURPOSE(S):**

To maintain records to determine the propriety of instituting debarment actions under the Federal Employees' Compensation Act. These records also provide information on treatment, billing and other aspects of a medical provider's actions, and/or documentation relating to the debarment of the medical care provider under another Federal or state program.

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

In addition to those universal routine uses listed 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 compatible with the

purpose for which the information is collected:

a. Federal, state or local government agencies, state licensing boards, professional organizations, claimants, patients, employers, insurance companies, and any other entities or individuals, for the purpose of identifying an excluded or reinstated provider, to ensure that authorization is not issued nor payment made to an excluded provider, and for the purpose of providing notice that a formerly excluded provider has been reinstated.

b. Federal, state or local government agencies, state licensing boards, professional organizations, claimants, patients, employers, insurance companies, and any other entities or individuals, for the purpose of obtaining information necessary to ensure that the list of excluded providers is correct, useful, and updated, as appropriate, and for the purpose of obtaining information relevant to a Departmental decision regarding a debarment action. This routine use encompasses the disclosure of such information that will enable the Department to properly verify the identity of a provider, to identify the nature of a violation, and the penalty imposed for such violation.

**Note:** Disclosure of information contained in the file to the claimant, a person who is duly authorized to act on his/her behalf, or to others to whom disclosure is authorized by these routine uses, may be made over the telephone. Disclosure over the telephone will only be done where the requestor provides appropriate identifying information. Telephonic disclosure of information is essential to permit efficient administration and adjudication of claims.

**Note:** Pursuant to 5 U.S.C. 552a(b)(1), information from this system of records is 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:**

None.

**POLICIES AND PROCEDURES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THIS SYSTEM:**

**STORAGE:**

The records are in manual files, magnetic tapes or other computer storage media, or on computer printouts.

**RETRIEVABILITY:**

Material is maintained either by the name of the provider, a case citation, or date of release.

**SAFEGUARDS:**

Material in the possession of the Office of Workers' Compensation Programs and its contractors will be, when not in use, kept in closed file cabinets, appropriate lockers and storage areas, etc.

**RETENTION AND DISPOSAL:**

File is retained in the office for three years after the debarment action is final and then transferred to the Federal Records Center, and destroyed thirty years after the debarment action is final. Where the period of exclusion is defined as a set period of time, the file will be retained two years after the period of exclusion expires (or the individual is otherwise reinstated), then transferred to the Federal Records Center, and destroyed thirty years after the debarment action is final.

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

Director for Federal Employees' Compensation, Office of Workers' Compensation Programs, 200 Constitution Avenue, NW, Washington, DC 20210, and the District Directors of the district offices set forth in the Appendix to this document.

**NOTIFICATION PROCEDURE:**

An individual wishing to inquire whether this system of records contains information about him/her may write the appropriate system manager at the address above. In order for the record to be located, the individual must provide his or her full name, date of birth, and signature.

**RECORD ACCESS PROCEDURE:**

Any individual seeking access to non-exempt information about a record within this system of records may write the OWCP district office where the case is located, or the system manager, and arrangements will be made to provide review of the file. In order for the record to be located, the individual must provide his or her full name, date of birth, and signature.

**CONTESTING RECORD PROCEDURE:**

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 system manager. Individuals requesting amendment of records must comply with the Department's Privacy Act regulations at 29 CFR 71.1 and 71.9.

**RECORD SOURCE CATEGORIES:**

Information in this system is obtained from Federal, state or local government agencies, state licensing boards, professional organizations, claimants, patients, employers, insurance companies, any other entities or individuals, public documents, and newspapers, as well as from other Department of Labor systems of records.

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

In accordance with 5 U.S.C. 552a(k)(2), investigatory material compiled for law enforcement purposes which is maintained in the investigation files of the Office of Workers' Compensation Programs, is exempt from subsections (c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f) of 5 U.S.C. 552a. The disclosure of information contained in civil investigative files, including the names of persons and agencies to whom the information has been transmitted, would substantially compromise the effectiveness of the investigation. Knowledge of such investigations would enable subjects to take such action as is necessary to prevent detection of illegal activities, conceal evidence or otherwise escape civil enforcement action. Disclosure of this information could lead to the intimidation of, or harm to, informants and witnesses, and their respective families, and the well being of investigative personnel and their families.

**DOL/ESA-30****SYSTEM NAME:**

Office of Workers' Compensation Programs, Black Lung Automated Support Package.

**SECURITY CLASSIFICATION:**

Unclassified.

**SYSTEM LOCATION:**

Office of Workers' Compensation Programs, Division of Coal Mine Workers' Compensation, U.S. Department of Labor Building, 200 Constitution Ave., NW, Washington, DC 20210, and district offices (see addresses in the Appendix to this document).

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

Individuals filing claims for black lung benefits; claimants receiving benefits; dependents of claimants and beneficiaries; medical providers; attorneys representing claimants; coal mine operators (workers' compensation insurance carriers).

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Records included are personal (name, date of birth, SSN, claim type, miner's

date of death); demographic (state, county, city, congressional district, zip code); mine employment history; medical records; initial determination; conference results; hearing results; medical and disability payment history; accounting information including data on debts owed to the United States; Social Security Administration black lung benefits data; state workers' compensation claim and benefits data; coal mine operator names, addresses, states of operation and histories of insurance coverage; and medical service providers names, addresses, license numbers, medical specialties, tax identifications and payment histories.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

30 U.S.C. 901 et seq., 20 CFR 715.1 et seq., 20 CFR 720.1 et seq., 20 CFR 725.1 et seq.

**PURPOSE(S):**

To maintain data on claimants, beneficiaries and their dependents; attorneys representing claimants; medical service providers; coal mine operators and insurance carriers. Provide means of automated payment of medical and disability benefits. Maintain a history of medical bills submitted by beneficiaries and medical service providers. Maintain a history of disability benefit payments made to beneficiaries and medical benefit payments made to beneficiaries and medical service providers. Maintain program accounting information including information on debts owed to the United States. Provide a means for the automatic recoupment of overpayments made to beneficiaries and medical service providers.

**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, disclosure of relevant and necessary information may be made to the following:

a. Mine operators (and/or any party providing the operator with workers' compensation insurance) who have been determined potentially liable for the claim at any time after the filing of a notice of injury or claim related to such injury or occupational illness, for the purpose of determining liability for payment.

b. State workers' compensation agencies and the Social Security Administration for the purpose of determining offsets as specified under the Act.

c. Doctors and medical services providers for the purpose of obtaining

medical evaluations, physical rehabilitation or other services.

d. Other Federal agencies conducting scientific research concerning the incidence and prevention of black lung disease.

e. Legal representatives, or person authorized to act on behalf of the claimant, responsible operator and program representation on contested issues.

f. Labor unions and other voluntary employee associations of which the claimant is a member for the purpose of exercising an interest in claims of members as part of their service to the members.

g. Contractors providing automated data processing services to the Department of Labor, or to any agency or entity to whom release is authorized, where the contractor is providing a service relating to the purpose for which the information can be released.

h. Federal, state or local agencies if necessary to obtain information relevant to a Department decision concerning the determination of initial or continuing eligibility for program benefits, whether benefits have been or are being paid improperly, including whether dual benefits prohibited under any federal or state law are being paid; and salary offset and debt collection procedures, including any action required by the Debt Collection Act of 1982, 31 U.S.C. 3711.

i. Debt collection agency that DOL has contracted for collection services to recover indebtedness owed to the United States.

j. Internal Revenue Service for the purpose of obtaining taxpayer mailing addresses in order to locate taxpayers to collect, compromise, or write-off a Federal claim against the taxpayer; discharging an indebtedness owed by an individual.

k. Credit Bureaus for the purpose of receiving consumer credit reports identifying the assets, liabilities, income and expenses of a debtor to ascertain the debtor's ability to pay a debt and to establish a payment schedule.

**Note:** Disclosure of information contained in the file to the claimant, a person who is duly authorized to act on his/her behalf, or to others to whom disclosure is authorized by these routine uses, may be made over the telephone. Disclosure over the telephone will only be done where the requestor provides appropriate identifying information. Telephonic disclosure of information is essential to permit efficient administration and adjudication of claims.

**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, 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)); 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:**

Magnetic media. Medical bills and supporting medical reports transferred to microfilm and magnetic media.

**RETRIEVABILITY:**

Coal miner's name and social security number; medical provider number; coal mine operator number; insurance carrier number.

**SAFEGUARDS:**

Files secured in a guarded facility; teleprocessing access protected by restrictions on access to equipment and through use of encrypted passwords.

**RETENTION AND DISPOSAL:**

Electronic file data has permanent retention. Claimant and benefit master file data will be transferred to magnetic tape and transmitted to NARA every ten years. This data (which includes both open and closed cases) will not be made available to the public until 90 years after transfer to NARA due to Privacy Act restrictions.

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

Director, Division of Coal Mine Workers' Compensation, U.S. Department of Labor, Room C-3520, 200 Constitution Ave., NW, Washington, DC 20210, and district office director (see addresses 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 above address or district office director (see addresses in the Appendix to this document). Individuals must furnish their name, address, and signature.

**RECORD ACCESS PROCEDURES:**

Individuals wishing to access any records should contact the appropriate office listed in the Notification Procedure section. Individuals must

furnish their name, address and signature.

**CONTESTING RECORD PROCEDURES:**

Individuals wishing to request amendment of any non-exempt records should contact the appropriate office listed in the Notification Procedure section. Individuals must furnish their name, address, and signature.

**RECORD SOURCE CATEGORIES:**

Individuals, and organizations.

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

Investigatory portion of system exempted from certain provisions of the ACT: In accordance with paragraph 3(k)(2) of the Privacy Act, investigatory material compiled for civil law enforcement purposes, which is maintained in this system's files of the Office of Workers' Compensation Programs of the Employment Standards Administration, is exempt from paragraphs (c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and paragraph (f) of 5 U.S.C. 552a. The disclosure of civil investigatory information, if any, contained in this system's files, including the names of persons and agencies to whom the information has been transmitted, would substantially compromise the effectiveness of investigations. Knowledge of such investigations would enable subjects to take such action as is necessary to prevent detection of illegal activities, conceal evidence, or otherwise escape civil enforcement action. Disclosure of this information could lead to the intimidation of, or harm to informants, witnesses, and their respective families, and in addition, could jeopardize the safety and well-being of investigative personnel and their families.

**DOL/ESA-32**

**SYSTEM NAME:**

ESA, Employee Conduct Investigations.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

The Employment Standards Administration National Office.

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

Subjects of complaints and/or investigations covered under the authority delegated to the Branch of

Management Review and Internal Control.

**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 confidential data gathered.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C.301.

**PURPOSE(S):**

To investigate allegations of misconduct.

**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, ASSESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**

**STORAGE:**

The records are stored in file folders in metal cabinets.

**RETRIEVABILITY:**

By name of the subject of the complaint or the 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:**

Branch of Management Review and Internal Management Control, 200 Constitution Ave., NW, Room N-4414, Washington, DC 20210.

**NOTIFICATION PROCEDURE:**

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

**RECORD ACCESS PROCEDURE:**

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; and individuals requesting access must also comply with the Privacy Act regulations regarding verification of identity to records at 29 CFR 71.2.

**CONTESTING RECORD PROCEDURES:**

A petition for amendment shall be addressed to the System Manager and must meet the requirements of 29 CFR 71.2.

**RECORD SOURCE CATEGORIES:**

Hotline complaints through the Office of the Inspector General's hotline; hotline complaints through the General Accounting Office's hotline system, personnel records; incident reports submitted by other employees; investigative reports, and individuals.

**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/ESA-33**

**SYSTEM NAME:**

"Time Report" Component of the Wage and Hour Investigative Support and Reporting Database (WHISARD)

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

Wage and Hour National Office (NO), Regional Offices (RO), and District Offices (DO). See the Appendix to this document for the addresses.

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

Wage and Hour Division Investigators, Assistants, and Supervisors.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Listing of hours worked distributed among the various programs Activities; leave records.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301.

**PURPOSE(S):**

To provide Wage and Hour District Directors a method of monitoring the activities of Investigators by providing a daily record of Investigator activities including expenditure of hours by case, Act, non-case activity, and a record of leave 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:**

Printed copies of these records are maintained in file cabinets and in an electronic file database in the NO.

**RETRIEVABILITY:**

By name of Investigator, assistant, and supervisor.

**SAFEGUARDS:**

Files are locked except during working hours. Only authorized personnel have access to files. Electronic files are protected by the use of passwords by authorized persons.

**RETENTION AND DISPOSAL:**

Printed forms generated by the WHISARD system will be retained in Wage and Hour DOs (see Records Disposal Schedule #NN-168-43, items 1a and 1b). Database information will be captured on tape at the end of each fiscal year and retained for 25 years.

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

Administrator, Wage and Hour Division, Frances Perkins Building, 200 Constitution Avenue, NW, Washington DC 20210; Regional Administrators Wage and Hour Division (see the Appendix of this document for addresses).

**NOTIFICATION PROCEDURES:**

Individuals wishing to make inquiries regarding this system should contact the system manager, or the regional office servicing the state where they are employed (see the Appendix of this document for addresses).



**RECORD ACCESS PROCEDURES:**

Individuals wishing to request these records should contact the appropriate system manager listed above.

**CONTESTING RECORD PROCEDURES:**

Individuals who wish to contest or amend any nonexempt system should direct their request to the system manager listed in the Appendix. In addition, the request should state clearly and concisely what information is being contested, the reason for contesting it, and the proposed amendment sought for the information. See 29 CFR part 71.

**RECORD SOURCE CATEGORIES:**

Individual investigators, assistants and supervisors, Wage and Hour investigator personnel working in District Offices.

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

None.

**DOL/ESA-34****SYSTEM NAME:**

Farm Labor Contractor Registration File.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

All Wage and Hour Regional Offices and the Florida Department of Labor & Employment Security, Agricultural Programs Section located in Tallahassee, Florida.

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

Applicants for and holders of Farm Labor Contractor Certificates of Registration.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Records, which contain personal identification, fingerprints, FBI records, insurance records, court and police records.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301; Migrant and Seasonal Agricultural Worker Protection Act, as amended (MSPA), 29 U.S.C. 1801 et seq.

**PURPOSE(S):**

To maintain a record of applicants for and holders of Farm Labor Contractor Certificates of Registration. Records are used to determine eligibility for issuance of a certificate of registration and for determining compliance with MSPA.

**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, relevant and necessary information may be disclosed to the system manager of DOL/ESA-37, MSPA Public Central Register Records File, for the purpose of preparing its list.

**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 kept in letter size manual files, computer discs and computer printouts. Records are stored in metal file cabinets in Wage and Hour Regional Offices and in the office of the Florida Department of Labor & Employment Security, Agricultural Programs Section, located in Tallahassee, Florida.

**RETRIEVABILITY:**

Indexed by the name of the applicant/holder.

**SAFEGUARDS:**

Accessible only to persons engaged in the administration of the program and there is screening to prevent unauthorized disclosure.

**RETENTION AND DISPOSAL:**

Records must be retained for a period of five years from the date of last certificate of action, and then destroyed when no longer needed.

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

Administrator, Wage and Hour Division, 200 Constitution Avenue, NW, Washington, DC 20210, and Regional Administrator for Wage and Hour of relevant Regional Offices.

**NOTIFICATION PROCEDURE:**

To System Manager(s) at above address.

**RECORD ACCESS PROCEDURES:**

Write to System Manager(s) indicated above.

**CONTESTING RECORD PROCEDURES:**

Address inquiries to Administrator, Wage and Hour Division, 200 Constitution Avenue, NW, Washington, DC 20210, and Regional Administrator for Wage and Hour of relevant Regional Offices. Such inquiries should include the full name of the requester.

**RECORD SOURCE CATEGORIES:**

The applicant, insurance companies, FBI, court and police records, and from investigations conducted by DOL.

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

None.

**DOL/ESA-35****SYSTEM NAME:**

Farm Labor Contractor Employee Registration File.

**SECURITY CLASSIFICATION:**

Unclassified.

**SYSTEM LOCATION:**

All Wage and Hour Regional Offices and the Florida Department of Labor & Employment Security, Agricultural Programs Section located in Tallahassee, Florida.

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

Applicants for and holders of Farm Labor Contractor Employee Certificates of Registration.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Records which contain personal identification, fingerprints, FBI records, insurance records, court and police records.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301; Migrant and Seasonal Agricultural Worker Protection Act, as amended (MSPA), 29 U.S.C. 1801 et seq.

**PURPOSE(S):**

To maintain a record of applicants for and holders of Farm Labor Contractor Employee Certificates of Registration. Records are used to determine eligibility for issuance of a certificate of registration and for determining compliance with MSPA.

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

In addition to those universal routine uses listed in the General Prefatory Statement to this document, relevant and necessary information may be disclosed to the system manager of DOL/ESA-37, MSPA Public Central Register Records File, for the purpose of preparing its list.

**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 kept in letter size manual files, computer discs and computer

printouts. Records are stored in metal file cabinets in Wage and Hour Regional Offices and in the office of the Florida Department of Labor & Employment Security, Agricultural Programs Section, located in Tallahassee, Florida.

**RETRIEVABILITY:**

Indexed by the name of the applicant/holder.

**SAFEGUARDS:**

Accessible only to persons engaged in the administration of the program and there is screening to prevent unauthorized disclosure.

**RETENTION AND DISPOSAL:**

Records must be retained for a period of five years from the date of last certificate of action, and then destroyed when no longer needed.

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

Administrator, Wage and Hour Division, 200 Constitution Avenue, NW, Washington, DC 20210, and Regional Administrator for Wage and Hour of relevant Regional Offices.

**NOTIFICATION PROCEDURE:**

Write to System Manager(s) indicated above.

**RECORD ACCESS PROCEDURES:**

Write to appropriate System Manager indicated above.

**CONTESTING RECORD PROCEDURES:**

Address inquiries to Administrator, Wage and Hour Division, 200 Constitution Avenue, NW, Washington, DC 20210, and Regional Administrator for Wage and Hour of relevant Regional Offices. Such inquiries should include the full name of the requester.

**RECORD SOURCE CATEGORIES:**

The applicant, insurance companies, FBI, court and police records, and from investigations conducted by DOL.

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

None.

**DOL/ESA-36****SYSTEM NAME:**

MSPA Civil Money Penalties in the Wage Hour Investigative Support and Reporting Database (WHISARD).

**SECURITY CLASSIFICATION:**

None.

**DOL/ESA-36****SYSTEM NAME:**

MSPA Civil Money Penalties in the Wage Hour Investigative Support and Reporting Database (WHISARD).

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

Wage and Hour National Office (NO), Regional Offices (RO) and District Offices (DO), see The Appendix of this document for addresses.

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

All persons investigated and assessed civil money penalties (CMPs) under the Migrant and Seasonal Agricultural Worker Protection Act (MSPA).

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Names, addresses, Social Security numbers, complaint information, employer information, employer/employee interviews, payroll information, housing and/or vehicle inspection reports, outcome of investigation, notification of determination to assess a CMP, hearing requests and/or subsequent legal documents.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301; Migrant and Seasonal Agricultural Worker Protection Act, as amended (MSPA), 29 U.S.C. 1801 et seq.

**PURPOSE(S):**

To maintain records on persons assessed MSPA CMPs and all actions connected therewith.

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

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

**DISCLOSURE OF CONSUMER REPORT AGENCIES:**

Not applicable.

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

Original records are stored in Wage and Hour offices. These records and other information are also maintained in an electronic file database in these offices.

**RETRIEVABILITY:**

Records are retrieved by employer name, Employer Identification Number, case file number or Act violated.

**SAFEGUARDS:**

Only authorized personnel have access by use of passwords to information stored on the database.

Original records are securely stored in Wage and Hour Regional Offices.

**RETENTION AND DISPOSAL:**

1. Electronic records are electronically archived; data tapes are retained for 25 years.

2. Printed information generated by this system and retained in a Wage-Hour office will be disposed of as follows: Printed information, concerning cases where violations were found, is disposed of 12 years after the date the case is closed. For cases where no violation were found, printed information is disposed of three years after the closing date.

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

Administrator, Wage and Hour Division, Room S-3502, Frances Perkins Building, 200 Constitution Avenue, NW, Washington, DC 20210.

**NOTIFICATION PROCEDURES:**

Individuals wishing to make inquiries regarding this system should contact the system manager, or the regional office that services the state in which they are located (see list of the regional office addresses in the Appendix of this document). Inquiries should include the full name of the requester and the date and amount of assessment.

**RECORD ACCESS PROCEDURES:**

Individuals wishing to request access to these records should contact the appropriate regional office listed in the Appendix.

**CONTESTING RECORD PROCEDURES:**

Individuals wishing to contest or amend any records should direct their request to the appropriate regional office listed in the Appendix. Such inquiries should include the full name of the requester and the date and amount of assessment.

**RECORD SOURCE CATEGORIES:**

The subject of the investigation, employer(s), employee(s) (present and/or former), insurance companies, other government agencies, court documents, and previous investigations (if applicable).

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

None.

**DOL/ESA-37****SYSTEM NAME:**

MSPA Public Central Registry Records File.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

Wage and Hour National Office (NO), Regional Offices (RO) and District

Offices (DO), see the Appendix for addresses.

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

Holders of Farm Labor Contractor and Farm Labor Contractor Employee Certificates of Registration.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Records which contain the name, address, certificate of registration number, authorization to transport, house, or drive (if any), and effective and expiration dates of holders of Farm Labor Contractor and Farm Labor Contractor Employee Certificates of Registration.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301; Migrant and Seasonal Agricultural Worker Protection Act, as amended (MSPA), 29 U.S.C. 1801 et seq.

**PURPOSE(S):**

To maintain a record of holders of Farm Labor Contractor and Farm Labor Contractor Employee Certificates of Registration.

**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 to this document, a public central registry of all persons issued certificates of registration is maintained by name and address which is available to anyone, upon request, as required by the Migrant and Seasonal Agricultural Worker Protection Act (MSPA), as amended (Section 402). Alternatively, section 500.170 of 29 CFR Part 500 provides that requests for registry information may be made by telephone by calling a toll-free number (listed). This registry is the source for providing that information.

**DISCLOSURE OF CONSUMER REPORT AGENCIES:**

Not applicable.

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

**STORAGE:**

Original records are stored in the Wage and Hour Regional Offices. These records are also maintained in an electronic file Database in the DOL NO.

**RETRIEVABILITY:**

Records are retrieved by name, Social Security Number (or Employer Identification Number), or Farm Labor Contractor Registration Number.

**SAFEGUARDS:**

Only authorized personnel have access by use of passwords to information stored on the database.

Original records are securely stored in Wage and Hour Regional Offices.

**RETENTION AND DISPOSAL:**

1. Electronic records are updated on a real-time basis. Expired certificate records are electronically archived daily. Data tapes are retained for 25 years.

2. Printed information generated by the certificates program and retained in a Wage-Hour office will be disposed of 5 years after the date of last certificate action.

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

Administrator, Wage and Hour Division, Frances Perkins Building, 200 Constitution Avenue, NW, Washington, DC 20210.

**NOTIFICATION PROCEDURES:**

Individuals wishing to make inquiries regarding this system should contact the system manager, or the regional office that services the state in which they are located (see list of the regional office addresses in the Appendix).

**RECORD ACCESS PROCEDURES:**

Individuals wishing to request access to these records should contact the appropriate regional office listed in the Appendix.

**CONTESTING RECORD PROCEDURES:**

Individuals wishing to contest or amend any records should direct their request to the appropriate regional office listed in the Appendix. Such inquiries should include the full name of the requester and the date and amount of assessment.

**RECORD SOURCE CATEGORIES:**

Farm labor contractor and farm labor contractor employee applications and certificates of registration.

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

None.

**DOL/ESA-38**

**SYSTEM NAME:**

Wage and Hour Regional Office Clearance List—MSPA Registration

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

Wage and Hour National Office (NO), Regional Offices (RO) and District Offices (DO), see the Appendix for addresses.

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

Farm labor contractors and farm labor contractor employees who may not

currently meet eligibility requirements, as stated in the Migrant and Seasonal Agricultural Worker Protection Act (MSPA) for issuance of a certificate of registration.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Records containing names, addresses, and social security numbers, outstanding unpaid CMPs under MSPA, injunctions, convictions, deportations, and previous actions to deny or revoke a certificate of registration.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301; Migrant and Seasonal Agricultural Worker Protection Act, as amended (MSPA), 29 U.S.C. 1801 et seq.

**PURPOSE(S):**

To provide a list of persons who may not meet eligibility requirements for issuance of a farm labor contractor or farm labor contractor employee Certificate of Registration to be used as a reference document for screening incoming applications by Wage and Hour Regional Offices and to provide historical and current compliance information to Wage and Hour National, Regional, and District Offices.

**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 OF CONSUMER REPORT AGENCIES:**

None.

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

**STORAGE:**

Original records are stored in the Wage and Hour Regional Offices. These records are also maintained in an electronic file Database in the DOL National Office.

**RETRIEVABILITY:**

Records are retrieved by name or Social Security number (or Employer Identification Number).

**SAFEGUARDS:**

Only authorized personnel have access by use of passwords to information stored on the database.

Original records are securely stored in Wage and Hour Regional Offices.

**RETENTION AND DISPOSAL:**

1. Electronic records are updated on a real-time basis. Data tapes are retained for 25 years.

2. Printed information retained in Wage-Hour offices will be disposed of 5

years after the date of the last certifice action.

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

Administrator, Wage and Hour Division, Frances Perkins Building, 200 Constitution Avenue, NW, Washington, DC 20210.

**NOTIFICATION PROCEDURES:**

Individuals wishing to make inquiries regarding this system should write to the system manager, or the regional office that services the state in which they are located (see list of the regional office addresses in the Appendix of this document).

**RECORD ACCESS PROCEDURES:**

Individuals wishing to request access to these records should write to the appropriate office listed in the Appendix. Accessible only to persons engaged in the administration of the program.

**CONTESTING RECORD PROCEDURES:**

Individuals wishing to contest or amend any record procedures should write to the system manager listed in the Appendix. The request should state clearly and concisely what information is being contested, the reason for contesting it, and the proposed amendment sought for the information.

**RECORD SOURCE CATEGORIES:**

Insurance companies, FBI, court and police records, previous actions to deny or revoke certificates of registration, and from investigations conducted by DOL and subsequent legal documents following such investigations.

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

None.

**DOL/ESA-39**

**SYSTEM NAME:**

State Employment Service Clearance List—MSPA Registration

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

The Department of Labor & Employment Security, Tallahassee, Florida; New Jersey Department of Labor, Trenton, New Jersey; Virginia Employment Commission, Richmond, Virginia; Wage and Hour National Office (NO), Regional Offices (RO) and District Offices (DO), see the Appendix of this document for addresses of the Wage and Hour offices.

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

Farm labor contractors and farm labor contractor employees who may not currently meet eligibility requirements, as stated in the Migrant and Seasonal Agricultural Worker Protection Act (MSPA), for issuance of a certificate of registration.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Records contain names, addresses, and Social Security numbers.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301; Migrant and Seasonal Agricultural Worker Protection Act, as amended (MSPA), 29 U.S.C. 1801 et seq.

**PURPOSE(S):**

To provide a list of persons who may not meet eligibility requirements for issuance of a farm labor contractor or farm labor contractor employee Certificate of Registration to be used as a reference document for screening incoming applications by the Department of Labor and Employment Security, Tallahassee, Florida; New Jersey Department of Labor, Trenton, New Jersey; and Virginia Employment Commission, Richmond, Virginia.

**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 OF CONSUMER REPORT AGENCIES:**

None.

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

**STORAGE:**

Electronic data is stored on computer disc.

**RETRIEVABILITY:**

Records are retrieved by name or by Social Security Number.

**SAFEGUARDS:**

This is accessible only to persons engaged in the administration of the program and there is screening to prevent unauthorized disclosure.

**RETENTION AND DISPOSAL:**

Electronic records are updated on a monthly basis. Data tapes are retained for 25 years.

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

Administrator, Wage and Hour Division, Frances Perkins Building, 200 Constitution Avenue, NW, Washington, DC 20210.

**NOTIFICATION PROCEDURES:**

Write to System Manager(s) indicated above.

**RECORD ACCESS PROCEDURES:**

Write to System Manager(s) indicated above.

**CONTESTING RECORD PROCEDURES:**

Write to System Manager(s) indicated above.

**RECORD SOURCE CATEGORIES:**

Wage and Hour Clearance List—MSPA Registration.

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

None.

**DOL/ESA-40**

**SYSTEM NAME:**

MSPA Tracer List.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

The Wage and Hour National Office.

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

Farm labor contractors, farm labor contractor employees, agricultural employers, and housing providers who have been investigated under the Migrant and Seasonal Agricultural Worker Protection Act (MSPA).

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Records containing names, addresses, and Certificate of Registration numbers of persons investigated under MSPA; location and scope of investigation, period covered and results of investigations conducted.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301; Migrant and Seasonal Agricultural Worker Protection Act, as amended (MSPA), 29 U.S.C. 1801 et seq.

**PURPOSE(S):**

To provide a written compliance history of persons who have been investigated under MSPA and the results of those investigations as a reference document for Wage and Hour investigators to determine knowledge of the Act by the person being investigated and whether previous violations are ongoing.

**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 OF CONSUMER REPORT AGENCIES:**

None.

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

Records are stored on computer media at the Wage and Hour National Office.

**RETRIEVABILITY:**

Records are retrieved by name.

**SAFEGUARDS:**

Electronic data is stored on computer disc. This is accessible only to persons engaged in the administration of the program and there is screening to prevent unauthorized disclosure.

**RETENTION AND DISPOSAL:**

Electronic records are updated on a monthly basis. Data tapes are retained for 25 years.

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

Administrator, Wage and Hour Division, Frances Perkins Building, 200 Constitution Avenue, NW, Washington, DC 20210.

**NOTIFICATION PROCEDURES:**

Write to System Manager(s) indicated above.

**RECORD ACCESS PROCEDURES:**

Write to System Manager(s) indicated above.

**CONTESTING RECORD PROCEDURES:**

Write to System Manager(s) indicated above.

**RECORD SOURCE CATEGORIES:**

The person investigated, employers, employees, insurance companies, FBI, court and police records, and from investigations conducted by DOL and subsequent legal documents following such investigations.

**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.

**DOL/ESA-41****SYSTEM NAME:**

MSPA Certificate Action Record Files.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

Wage and Hour National Office and Regional Offices.

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

Applicants for and holders of Farm Labor Contractor/Farm Labor Contractor Employee Certificates of Registration.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Names, addresses, Social Security numbers, fingerprints, FBI records, insurance records, court and police records.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301; Migrant and Seasonal Agricultural Worker Protection Act, as amended (MSPA), 29 U.S.C. 1801 et seq.

**PURPOSE(S):**

To maintain a record of persons whose applications for or previously issued Farm Labor Contractor/Farm Labor Contractor Employee Certificates of Registration have been denied or revoked and all subsequent actions connected therewith.

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

None except for these 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 stored in metal file cabinets and computer media in the Wage and Hour National Office. Computer media are stored in the Wage and Hour National Office and Regional Offices.

**RETRIEVABILITY:**

By the name of the applicant/holder.

**SAFEGUARDS:**

Accessible only to persons engaged in the administration of the program and there is screening to prevent unauthorized disclosure.

**RETENTION AND DISPOSAL:**

Records must be retained for a period of five years from the expiration date of

a certificate of registration or from the date an application is received where no certificate has been issued.

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

Administrator, Wage and Hour Division, 200 Constitution Avenue, NW, Washington, DC 20210.

**NOTIFICATION PROCEDURE:**

Write to System Manager at above address.

**RECORD ACCESS PROCEDURES:**

Write to System Manager indicated above.

**CONTESTING RECORD PROCEDURES:**

Write to Administrator, Wage and Hour Division, 200 Constitution Avenue, NW, Washington, DC 20210. Such inquiries should include the full name of the requester.

**RECORD SOURCE CATEGORIES:**

Applicants, individuals, insurance companies, FBI, court and police records, and from investigations conducted by DOL.

**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.

**DOL/ESA-42****SYSTEM NAME:**

Case Registration/Investigator Assignment Form; in the Wage and Hour Investigative Support and Reporting Database (WHISARD).

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

Wage and Hour National Office (NO), Regional Offices (RO), and District Offices (DO); see the Appendix of this document for addresses.

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

Wage and Hour Investigators.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Records containing name and address, case investigation number, investigation program, investigating office, prior history of investigations, and investigating officer.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301.

**PURPOSE(S):**

To provide Wage and Hour DOs with a record of employers currently undergoing investigation by Wage and Hour within the jurisdiction of that particular DO. Used to record the initial scheduling of an investigation, assignment to an Investigator and subsequent actions.

**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 OF CONSUMER REPORT AGENCIES:**

None.

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

Maintained in the DOL NO in electronic file Database.

**RETRIEVABILITY:**

By name of employer, by North American Industrial Code (NAIC) and/or Employer Identification Number (EIN).

**SAFEGUARDS:**

Only authorized personnel have access to files. Files locked in office at close of business day. Electronic file protected by password.

**RETENTION AND DISPOSAL:**

Printed investigation forms generated by the WHISARD system will be retained in the investigative files of Wage and Hour District Offices (see Records Disposal Schedule #NN-168-43, items 1a and 1b.) Database information will be captured on tape at the end of each fiscal year and will be retained for 25 years.

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

Administrator, Wage and Hour Division, Room S-3502, Frances Perkins Building, 200 Constitution Avenue, NW, Washington, DC 20210.

**NOTIFICATION PROCEDURES:**

Individuals wishing to make inquiries regarding this system should contact the system manager, or the regional office servicing the state where they are employed (see list of the regional office addresses in the Appendix of this document).

**RECORD ACCESS PROCEDURES:**

Individuals wishing to request access to these records should contact the appropriate office listed in the Appendix.

**CONTESTING RECORD PROCEDURES:**

Individuals wishing to contest or amend any nonexempt records should direct their request to the disclosure officer listed in the Appendix. In addition, the request should state clearly and concisely what information is being contested, the reason for contesting it, and the proposed amendment sought for the information.

**RECORD SOURCE CATEGORIES:**

Complainants, employers, and Wage and Hour personnel.

**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.

**DOL/ESA-43****SYSTEM NAME:**

Office of Workers' Compensation Programs, Federal Employees' Compensation Act and Longshore and Harbor Workers' Compensation Act Rehabilitation Files.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

Rehabilitation files are located in the Federal Employees' Compensation (FEC) and Longshore and Harbor Workers' Compensation (Longshore)

District Offices where the OWCP case file is located. See the Appendix to this document for District Office addresses. Copies of claim forms and other documents arising out of a job-related injury that resulted in the filing of a claim under the FECA may also be maintained by the employing agency (and where the forms were transmitted to the OWCP electronically, the original forms are maintained by the agency).

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

The rehabilitation records cover either individuals covered by the Federal Employees' Compensation Act (FECA) for injuries on the job, or individuals covered by the Longshore and Harbor Workers' Compensation Act (LHWCA), and related acts. See DOL/GOVT-1 for further explanation of employees covered by the FECA, and DOL/ESA-15 for those covered by the LHWCA.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Records found in the FECA or Longshore case file (see DOL/GOVT-1 and DOL/ESA-15), notes on telephone calls and interviews with rehabilitation counselors, claimants, potential employers, physicians and others who have been contacted as part of the rehabilitation process, notes created by the rehabilitation specialist and the rehabilitation counselor concerning the rehabilitation process relating to the claimant proposed and/or approved rehabilitation plans, and reports submitted in connection with the plans. These records also contain information about covered employees' entitlement to wage-loss compensation benefits and entitlement to medical benefits and treatment, and contain information about medical and vocational testing, rehabilitation plans and the documentation supporting such plans. The records may also include other information relating to the vocational rehabilitation process under the relevant statute.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 8101 et seq.; 33 U.S.C. 901, et seq.; 36 DC Code 501 et seq.; 42 U.S.C. 1331 et seq.; 5 U.S.C. 8171 et seq.

**PURPOSE(S):**

These records are maintained to provide information and verification about the covered employees' work-related injuries and the vocational rehabilitation process.

**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, 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 compatible with the purpose for which the information is collected:

a. Rehabilitation agencies, counselors, screeners, physicians and medical providers, and other persons or entities, for the purpose of providing rehabilitation services to injured workers under the FECA or LHWCA.

b. The worker's former employer or its representatives, including third-party administrators, and where appropriate the employer's insurance carrier, for the purpose of paying compensation benefits, including medical expenses, and the cost of the rehabilitation services provided to the injured worker.

c. Employers, including federal agencies, which may consider returning the worker to employment, or to hiring such worker as a result of the return-to-work effort conducted by OWCP during the rehabilitation process.

d. Labor unions and other voluntary employee associations from whom the claimant has requested assistance with claims processing and adjudication and other services.

**Note:** Disclosure of information contained in the file to the claimant, a person who is duly authorized to act on his/her behalf, or to others to whom disclosure is authorized by these routine uses, may be made over the telephone. Disclosure over the telephone will only be done where the requestor provides appropriate identifying information. Telephonic disclosure of information is essential to permit efficient administration and adjudication of claims.

**Note:** 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.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

None.

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

**STORAGE:**

Case files are maintained in manual files, security case files in locked cabinets, and FECA or LHWCA management information system information, chargeback file and other

automated data are stored on computer discs or magnetic tapes which are stored in cabinets.

**RETRIEVABILITY:**

Files and automated data are retrieved after identification by coded file number, which is cross-referenced to employee by name.

**SAFEGUARDS:**

Files and automated data are maintained under supervision of OWCP personnel during normal working hours—only authorized personnel may handle or disclose any information contained therein. Only personnel having security clearance may handle or process security files. After normal working hours, security files are kept in locked cabinets. All files and data are maintained in guarded Federal buildings.

**RETENTION AND DISPOSAL:**

All rehabilitation files are merged with the FECA or Longshore case file (see DOL/GOVT-1 or DOL/ESA-15) at the conclusion of the rehabilitation effort and are retained consistent with the retention schedule for the case files.

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

Director, Division of Planning, Policy and Standards, Office of Workers' Compensation Programs, 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 or her may write or telephone the OWCP District Office which services the State in which the individual resided or worked at the time the individual thinks he or she filed a claim, or the system manager. In order for a record to be located, the individual must provide his or her full name, FEC or LHWCA case number (if known), date of injury (if known), and date of birth.

**RECORD ACCESS PROCEDURE:**

Individuals wishing to request access to records should contact the appropriate office listed in the Notification Procedure section, or the system manager. Individuals must furnish their name, the claim number and signature.

**CONTESTING RECORD PROCEDURES:**

Individuals wishing to request amendment of any records should contact the appropriate office listed in the Notification Procedure section, or the system manager. Individuals must furnish their name, the claim number and signature. Any individual

requesting amendment of records must comply with the Department's Privacy Act regulations at 29 CFR 71.1 and 71.9.

**RECORD SOURCE CATEGORIES:**

Claimants, claim forms, medical reports, correspondence, investigative reports, employment reports; Federal and state agency records, any other record or document pertaining to a claimant or his dependent as it relates to the claimant's age, education, work history, marital history or medical condition; notes on telephone conversations conducted by the rehabilitation specialist or counselor with employers, medical providers and others.

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

None.

**DOL/ESA-44**

**SYSTEM NAME:**

Office of Workers' Compensation Programs, Federal Employees' Compensation Act (FEC) and Longshore and Harbor Workers' Compensation Act Rehabilitation Counselor Case Assignment, Contract Management and Performance Files and FEC Field Nurses.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

Files concerning rehabilitation counselors are located in the Federal Employees' Compensation (FEC) and Longshore and Harbor Workers' Compensation (Longshore) District Offices where the counselor is certified. Files for FEC field nurses are found in FEC district offices. See the Appendix to this document for District Office addresses. Copies of claim forms and other documents arising out of a job-related injury that resulted in the filing of a claim under the FECA may also be maintained by the employing agency (and where the forms were transmitted to the OWCP electronically, the original forms are maintained by the agency).

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

The rehabilitation counselor/nurse files cover individuals who have entered into a contract with the Office of Workers' Compensation Programs or provide rehabilitation counselor or nursing services under the Federal Employees' Compensation Act (FECA) and/or the Longshore and Harbor Workers' Compensation Act (LHWCA).

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Names, addresses and information on qualifications of rehabilitation counselors/nurses certified by and under contract with OWCP to provide rehabilitation services to injured workers under the FECA and LHWCA or field nurse services under FECA. In addition there are records compiled and maintained by the rehabilitation specialist or the OWCP staff nurse, concerning the assignment of rehabilitation/field nurse cases to the counselor/nurse and the performance of the counselor/nurse in fulfilling the duties under the contract with OWCP.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301.

**PURPOSE(S):**

These records are maintained to provide information about the rehabilitation counselor or field nurse, including the name, address, telephone number, counselor/nurse status, skill codes, number of referrals, status of referrals and notes. These notes can include evaluation of performance and other matters concerning performance of the contract.

**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.

**Note:** Disclosure of information contained in the file to the claimant, a person who is duly authorized to act on his/her behalf, or to others to whom disclosure is authorized by these routine uses, may be made over the telephone. Disclosure over the telephone will only be done where the requestor provides appropriate identifying information. Telephonic disclosure of information is essential to permit efficient administration and adjudication of claims.

**Note:** 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 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:**

None.

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

The records are maintained in electronic form within the OWCP rehabilitation data system, or staff nurse monitoring system and in hard copy

records maintained in the OWCP district office. Records are principally stored by district office in electronic form, accessed by appropriate codes. Hard copy records may be maintained in the district office in locked cabinets.

**RETRIEVABILITY:**

Files and automated data are retrieved by the name of the counselor/nurse through the database and/or files maintained in the appropriate OWCP district office.

**SAFEGUARDS:**

Files and automated data are maintained under supervision of OWCP personnel during normal working hours—only authorized personnel may handle or disclose any information contained therein. Only personnel having appropriate authorization, including security codes, may access the electronic files and only the rehabilitation specialists or staff nurses who monitor contract performance and actions in individual claims, as well as the appropriate supervisors and managers in the district office and the national office, may access the files.

**RETENTION AND DISPOSAL:**

All case files and automated data pertaining to the OWCP rehabilitation counselors/nurses are maintained for two years following the termination of the contract.

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

Director, Division of Planning, Policy and Standards, Office of Workers' Compensation Programs, 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 or her may write or telephone the appropriate OWCP District Office for the geographic region for which that individual contracted to provide services. In order for a record to be located, the individual must provide his or her full name and date of birth.

**RECORD ACCESS PROCEDURE:**

Individuals wishing to request access to records should contact the appropriate office listed in the Notification Procedure section, or the system manager. Individuals must furnish their name, the claim number and signature.

**CONTESTING RECORD PROCEDURES:**

Individuals wishing to request amendment of any records should contact the appropriate office listed in the Notification Procedure section, or the system manager.

**RECORD SOURCE CATEGORIES:**

Rehabilitation Counselors, Field Nurses, Other Individuals, correspondence, investigative reports, Federal and state agency records, any other record or document pertaining to a contract.

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

None.

**DOL/ESA-45****SYSTEM NAME:**

Investigative Files of the Office of Labor-Management Standards.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

The field offices of the Office of Labor-Management Standards.

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

Union officials and other individuals investigated or interviewed in connection with investigations carried out pursuant to the Labor-Management Reporting and Disclosure Act, 29 U.S.C. 401 et. seq.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Records compiled in connection with investigations conducted under the Labor-Management Reporting and Disclosure Act of 1959, as amended (LMRDA), and under the standards of conduct provisions of the Civil Service Reform Act of 1978 (CSRA) and Foreign Service Act of 1980 (FSA), and the Congressional Accountability Act of 1995 (CAA) and the implementing regulations at 29 CFR part 458.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

29 U.S.C. 401 et seq., 5 U.S.C. 7120, 22 U.S.C. 4117, 2 U.S.C. 1351 (a)(1), 29 CFR part 458.

**PURPOSE(S):**

Records are compiled in connection with enforcement of the LMRDA and the standards of conduct provisions of the CSRA and FSA and CAA and the implementing regulations at 29 CFR part 458.

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

Records may be disclosed to interested persons or officials as provided for in section 601(a) of the Labor-Management Reporting and Disclosure Act, 29 U.S.C. 521(a). 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:**

Manual files and manual and computer indices.

**RETRIEVABILITY:**

By name of union, union officials, individuals investigated, business organizations, labor relations consultants, and other individuals and organizations deemed significant.

**SAFEGUARDS:**

These records are normally maintained in secured file cabinets with access strictly limited to only those employees of the agency who need such information as part of their official duties. A charge-out system is employed to restrict and monitor withdrawal of records from the files.

**RETENTION AND DISPOSAL:**

Records pertaining to open investigations are retained in the OLMS field offices. Closed files are retained in field offices for two years after which they are retired to Federal Records Centers. FRC will destroy files after eight calendar years of storage (ten years after closure of case).

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

Deputy Assistant Secretary for Labor-Management Programs, U.S. Department of Labor, 200 Constitution Avenue, NW, Washington, D.C. 20210.

**NOTIFICATION PROCEDURE:**

Individuals wishing to inquire whether this system of records contains information about them should contact the systems manager. Individuals must furnish the following information for their records to be located and identified: Name, date of birth, union or business affiliation.

**RECORDS ACCESS PROCEDURE:**

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 or identified: Name, date of birth, and union or business affiliation.

**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 corrections(s).

**RECORD SOURCE CATEGORIES:**

Labor unions, union members, union officials and employees, employers, labor relations consultants, and other individuals.

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

To the extent this system of records is maintained for criminal law enforcement purposes, it is exempt pursuant to 5 U.S.C. 552a (j)(2) from all provisions of the Privacy Act except the following: 5 U.S.C. 552a (b), (c)(1) and (2), (e)(4)(A) through (F), (e)(6), (7), (9), and (11), and (i). In accordance with 5 U.S.C. 552a(k)(2), investigatory material in this system of records compiled for civil law enforcement purposes is exempt for 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 individuals, 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. Exemption under 5 U.S.C. 552a(j)(2) and (k)(2) of information within this system of records is necessary to undertake the investigative and enforcement responsibilities of OLMS, to prevent individuals from frustrating the investigatory process, to prevent subjects of investigation from escaping prosecution or avoiding civil enforcement, to prevent disclosure of investigative techniques, to protect the confidentiality of witnesses and informants, and to protect the safety and well-being of witnesses, informants, and law enforcement personnel, and their families.

**DOL/ESA-46**

**SYSTEM NAME:**

Migrant and Seasonal Agricultural Worker Protection Act (MSPA) Ineligible Farm Labor Contractors.

**SECURITY CLASSIFICATION:**

Unclassified.

**SYSTEM LOCATION:**

Wage and Hour National Office.

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

Persons whose Farm Labor Contractor or Farm Labor Contractor Employee Certificate of Registration has been revoked or whose application for such certificate has been denied and such action has become a final and unappealable Order of the Secretary of Labor.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Records containing the names and addresses of persons whose certificates of registration have been revoked or whose application for a certificate of registration have been denied.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

Migrant and Seasonal Agricultural Worker Protection Act, as amended (MSPA), 29 U.S.C. 1801 et seq.

**PURPOSES:**

To provide a written listing of individuals who may not legally engage in any activity as a farm labor contractor or farm labor contractor employee.

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

This listing is mailed upon request to the General Public.

**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 stored in all Wage and Hour Regional Offices, some Wage and Hour District Offices and the Wage and Hour National Office.

**RETRIEVABILITY:**

Records are retrieved by name.

**SAFEGUARDS:**

Records are maintained under the supervision of Wage and Hour personnel.

**RETENTION AND DISPOSAL:**

Record is updated and replaced on a monthly basis. These records are destroyed after they have been replaced and are no longer needed.

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

Administrator, Wage and Hour Division, 200 Constitution Avenue, NW,

Washington, DC 20210, and Regional Administrator for Wage and Hour of relevant Regional Offices.

**NOTIFICATION PROCEDURE:**

Write to Administrator, Wage and Hour Division, 200 Constitution Avenue, NW, Washington, DC 20210, or appropriate Regional Administrator for Wage and Hour.

**RECORD ACCESS PROCEDURES:**

Write to Administrator, Wage and Hour Division, 200 Constitution Avenue, NW, Washington, DC 20210, or to the appropriate Regional Administrator for Wage and Hour.

**CONTESTING RECORD PROCEDURES:**

Write to Administrator, Wage and Hour Division, 200 Constitution Avenue, NW, Washington, DC 20210, or to the appropriate Regional Administrator for Wage and Hour. Such inquiries should include the full name of the requester.

**RECORD SOURCE CATEGORIES:**

The sources for records in the system include information furnished by the applicant.

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

None.

**DOL/ESA-47****SYSTEM NAME:**

Youth Peddler Bulletin Board.

**SECURITY CLASSIFICATION:**

Unclassified.

**SYSTEM LOCATION:**

All Wage and Hour Division's Regional and District Offices and the National Office.

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

Employers, crew chiefs who recruit minors for door-to-door sales, and/or drivers who transport minors to sell candy or other goods.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Records containing the names and addresses of companies and/or individuals subject to state or Federal child labor laws. Information on the location and scope of any current or prior investigations; information concerning criminal investigations—including subpoenas, injunctions or agreements involving crew chiefs or drivers of youth peddlers; synopses of recruiting advertisements, or itineraries of activities; information concerning products being sold and location of manufacturers and/or warehouses used

to store these materials; registration of vehicles used to transport youth crews; and State and local licenses.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

29 U.S.C. 201 et seq.; and 5 U.S.C. 301.

**PURPOSE(S):**

To assemble into one system, information concerning the investigative histories of crew chiefs/drivers who may have recruited/transported minor-workers for the purpose of selling materials door-to-door that may result in a violation of Federal or State child labor laws.

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

Pertinent information may be disclosed to the appropriate Federal, State, or local agency for investigating, prosecuting, enforcing, or implementing a statute, rule, regulation, or order, in connection with a potential or actual child labor violation.

**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 stored manually and on computer media in all Wage and Hour Regional and District offices, and the Wage and Hour National Office.

**RETRIEVABILITY:**

Records are retrieved by the names of door-to-door sales crew chiefs and drivers and/or employees.

**SAFEGUARDS:**

These records are kept manually and electronically and may only be accessed by entering a password that will be provided to persons engaged in the administration of the program.

**RETENTION AND DISPOSAL:**

The electronic records will be transferred to the master data base (CD/disc) file after one year. The textual records (which include printouts, correspondence, fax copies, and reports) will be maintained for two years. Both the electronic and textual records will be destroyed when they are no longer needed for program purposes.

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

Child Labor and Special Employment Team Leader, Wage and Hour Division, 200 Constitution Avenue, NW, Washington, DC 20210.

**NOTIFICATION PROCEDURE:**

Write to the Child Labor and Special Employment Team Leader, Wage and Hour Division, 200 Constitution Avenue, NW, Washington, DC 20210, and Regional Administrators for Wage and Hour of relevant Regional and District Offices. Such inquiries should include the full name of the requestor and/or the legal name of the company.

**RECORDS ACCESS PROCEDURE:**

Write to the Child Labor and Special Employment Team Leader, Wage and Hour Division, 200 Constitution Avenue, NW, Washington, DC 20210, or appropriate Regional Administrator for Wage and Hour. Such inquiries should include the full name of the requestor and/or the legal name of the company.

**CONTESTING RECORD PROCEDURES:**

Write to the Child Labor and Special Employment Team Leader, Wage and Hour Division, 200 Constitution Avenue, NW, Washington, DC 20210, and Regional Administrator for Wage and Hour of relevant Regional and District Offices. Such inquiries should include the full name of the requestor and/or the legal name of the company.

**RECORD SOURCE CATEGORIES:**

Crew chiefs/drivers, employees, court and police records, and records of investigations conducted by the U.S. Department of Labor and the State Departments of Labor and any subsequent legal documents created following such investigations.

**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 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/ESA-48****SYSTEM NAME:**

“Customer Service component” of the Wage Hour Investigative Support and Reporting Database (WHISARD).

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

Wage and Hour National Office (NO), Regional Offices (RO) and District Offices (DO), see The Appendix of this document for addresses.

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

Persons who contact the Wage and Hour Division for technical assistance or to file a complaint.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

“Browse Customer List” records containing last name, first name, phone number, address, city, complaint status, case identification number, WH employee name, and contact priority.

“Employee Contact Information” records containing home address, phone numbers, fax number, e-mail address and certain information about the individual’s complaint.

“Employee Work Information” records containing certain employment and payroll information about the individual’s complaint.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301; 29 U.S.C. 201 et seq.

**PURPOSE(S):**

To provide Wage and Hour NO, ROS and DOs with an index of individuals who contact the Wage and Hour Division. This information may be used to provide assistance or facilitate the processing of a complaint.

**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 to this document, relevant information may be provided to other government agencies for law enforcement purposes.

**DISCLOSURE OF CONSUMER REPORT AGENCIES:**

None.

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

Maintained in an electronic file Database in the DOL National Office.

**RETRIEVABILITY:**

By name of the individual.

**SAFEGUARDS:**

Only authorized personnel have access by use of passwords to this on-line transactional system and its database.

**RETENTION AND DISPOSAL:**

Printed investigation forms generated by the WHISARD system will be retained in the investigative files of Wage and Hour District Offices (see Records Disposal Schedule #NN-168-43, items 1a and 1b which provides as follows: Printed information, concerning cases where violations were found, is disposed of 12 years after the date the case is closed. For cases where no violation were found, printed information is disposed of three years after the closing date. Database information will be captured on tape at the end of each fiscal year and retained for 25 years.

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

Administrator, Wage and Hour Division, Room S-3502, Frances Perkins Building, 200 Constitution Avenue, NW, Washington, DC 20210.

**NOTIFICATION PROCEDURES:**

Individuals wishing to make inquiries regarding this system should contact the system manager, or the regional office servicing the state where they are employed (see list of the regional office addresses in the Appendix of this document).

**RECORD ACCESS PROCEDURES:**

Individuals wishing to request access to these records should contact the appropriate office listed in the Appendix.

**CONTESTING RECORD PROCEDURES:**

Individuals wishing to contest or amend any records should direct their request to the appropriate system manager. In addition, the request should state clearly and concisely what information is being contested, the reason for contesting it, and the proposed amendment sought for the information.

**RECORD SOURCE CATEGORIES:**

Complainants, employers, and Wage and Hour personnel.

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

None.

**DOL/ESA-48****SYSTEM NAME:**

Office of Workers’ Compensation Programs, Energy Employees Occupational Illness Compensation Program 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 that has given the information the security classification of Top Secret.

**SYSTEM LOCATION:**

U.S. Department of Labor, Employment Standards Administration, Office of Workers’ Compensation Programs, Frances Perkins Building, 200 Constitution Ave., NW, Washington, DC 20210, and district offices located throughout the United States.

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

Individuals or their survivors who claim benefits under the Energy Employees Occupational Illness Compensation Program Act (EEOICPA). These individuals include, but are not limited to, federal employees or survivors of federal employees; employees or survivors of employees of the Department of Energy, its predecessor agencies, and their contractors and subcontractors; and members of the armed forces.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

This system may contain the following kinds of records: Claim forms filed by or on behalf of injured individuals or their survivors seeking benefits under the EEOICPA; reports by the employee and/or the U.S. Department of Energy; employment records; exposure records; safety records or other incident reports; dose reconstruction records; workers’ or family members contemporaneous diaries, journals, or other notes; 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, including previously

filed claims; 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 individual claiming benefits.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

Energy Employees Occupational Illness Compensation Program Act, Title XXXVI of Pub. L. 106-398, October 30, 2000, 114 Stat. 1654.

**PURPOSE(S):**

To maintain records on individuals who file claims under the Energy Employees Occupational Illness Compensation Program Act, which establishes a program for compensating certain individuals for covered illnesses related to exposure to beryllium, cancers related to exposure to radiation, and chronic silicosis. These records provide information and verification about individual claimants' covered illnesses on which may be based any entitlement to medical treatment, compensation and survivors' benefits, under the EEOICPA and certain other statutes.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSE 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 an EEOICPA 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 beneficiary's compensable condition, and for the purpose of administering the provisions of sections 3641-3642 of the EEOICPA.

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 beneficiary for the purpose of assisting in the resolution of the claim or litigation against that party or administering the provisions of sections 3641-3642 of the EEOICPA.

b. To the Department of Energy, its contractors and subcontractors, and federal agencies that employed the employee at the time of the alleged exposure of the employee, and to other entities that may possess relevant information, to assist in administering the EEOICPA, to answer questions about the status of the claim, to consider 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 EEOICPA's exclusive remedy provision to an administrative claim or to litigation filed under the Federal Tort Claims Act.

c. To the personnel, contractors, grantees, and cooperative agreement holders of the Department of Energy, the Department of Health and Human Services, the Department of Justice, and other federal agencies designated by the President to implement the federal compensation program established by the EEOICPA, for the purpose of assisting in the adjudication or processing of a claim under that Act.

d. 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.

e. 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 EEOICPA, 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 EEOICPA, for the purpose of resolving the appropriate source of payment in such circumstances.

f. To a federal, state or local agency for the purpose of obtaining information relevant to a determination concerning initial or continuing eligibility for EEOICPA 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 EEOICPA compensation and debts otherwise related to the payment of EEOICPA benefits.

g. 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.

h. Where an investigation, settlement of claims, or the preparation and conduct of litigation is undertaken, a record may be disclosed to (1) a person representing the United States or the Department of Labor in the investigation, settlement or litigation, and to individuals assisting in such representation; (2) others involved in the investigation, settlement, and litigation, and their representatives and assistants; and (3) a witness, potential witness, or their representatives and assistants, and to any other person who possesses information pertaining to the matter, when such disclosure is necessary for the conduct of the investigation, settlement, or litigation, or is necessary to obtain information or testimony relevant to the matter.

i. 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.

j. 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.

k. 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) 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.

l. 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.

m. To the spouse, children, parents, grandchildren, or grandparents of deceased employees who may be covered under the EEOICPA to enable them to determine their eligibility for benefits under the EEOICPA, and to inform them of decisions regarding benefit eligibility, so that they have the opportunity to take action to protect any rights they may have as potentially eligible beneficiaries.

**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 EEOICPA.

#### **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 filing 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, employer and/or contractor, and date and nature of injury.

##### **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. 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. Paper 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, Office of Workers' Compensation Programs, 200 Constitution Avenue, NW, Washington, DC 20210.

##### **NOTIFICATION PROCEDURES:**

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.

##### **CONTESTING RECORD PROCEDURES:**

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.

##### **RECORD SOURCE CATEGORIES:**

Injured employees who are the subjects of the record, their family members and beneficiaries; employing Federal agencies; State governments, State agencies, and other Federal agencies; State and Federal workers' compensation offices; physicians and other medical professionals; hospitals; clinics; medical laboratories; suppliers of health care products and services and their agents and representatives; educational institutions; attorneys; Members of Congress; OWCP field investigations; consumer credit reports; 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/ESA-50**

**SYSTEM NAME:**

Office of Workers' Compensation Programs, Physicians and Health Care Providers Excluded under the Energy Employees Occupational Illness Compensation Program Act.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

U.S. Department of Labor, Employment Standards Administration, Office of Workers' Compensation Programs, Frances Perkins Building, 200 Constitution Ave., NW, Washington, DC 20210.

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

Providers of medical goods and services, including physicians, hospitals, and providers of medical support services or supplies excluded or considered for exclusion from payment under the Energy Employees Occupational Illness Compensation Program Act for fraud or abuse (20 CFR 30.715-30.726, or as updated).

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Copies of letters, lists and documents from Federal and state agencies concerning the administrative debarment of providers from participation in programs providing benefits similar to those of the Energy Employees Occupational Illness Compensation Program Act and their reinstatement; materials concerning possible fraud or abuse which could lead to exclusion of a provider; documents relative to reinstatement of providers, materials concerning the conviction of providers for fraudulent activities in connection with any Federal or state program for which payments are made to providers for similar medical services; all letters, memoranda, and other documents regarding the consideration of a provider's exclusion, the actual exclusion, or reinstatement under the provisions of 20 CFR 30.715-30.726 (or as updated); copies of all documents in a claim file relating to medical care and/or treatment including bills for such services, as well as letters, memoranda, and other documents obtained during investigations, hearings and other administrative proceedings concerning exclusion for fraud or abuse, as well as

reinstatement, along with recommendations and decisions; lists of excluded providers released by the OWCP.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

Energy Employees Occupational Illness Compensation Program Act, Title XXXVI of Pub. L. 106-398, October 30, 2000, 114 Stat. 1654.

**PURPOSE(S):**

To maintain records in order to determine the propriety of instituting debarment actions under the Energy Employees Occupational Illness Compensation Program Act. These records also provide information on treatment, billing and other aspects of a medical provider's actions, and/or documentation relating to the debarment of the medical care provider under another Federal or state program.

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

In addition to those universal routine uses listed 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 compatible with the purpose for which the information is collected:

- a. Federal, state or local government agencies, state licensing boards, professional organizations, claimants, patients, employers, insurance companies, and any other entities or individuals, for the purpose of identifying an excluded or reinstated provider, to ensure that authorization is not issued nor payment made to an excluded provider, and for the purpose of providing notice that a formerly excluded provider has been reinstated.
- b. Federal, state or local government agencies, state licensing boards, professional organizations, claimants, patients, employers, insurance companies, and any other entities or individuals, for the purpose of obtaining information necessary to ensure that the list of excluded providers is correct, useful, and updated, as appropriate, and for the purpose of obtaining information relevant to a Departmental decision regarding a debarment action. This routine use encompasses the disclosure of such information that will enable the Department to properly verify the identity of a provider, to identify the nature of a violation, and the penalty imposed for such violation.

**Note:** Disclosure of information contained in the file to the claimant, a person who is

duly authorized to act on his/her behalf, or to others to whom disclosure is authorized by these routine uses, may be made over the telephone. Disclosure over the telephone will only be done where the requestor provides appropriate identifying information. Telephonic disclosure of information is essential to permit efficient administration and adjudication of claims.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

None.

**POLICIES AND PROCEDURES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THIS SYSTEM:**

**STORAGE:**

The records are in manual files, magnetic tapes or other computer storage media, or on computer printouts.

**RETRIEVABILITY:**

Material is retrieved either by the name of the provider, a case citation, or date of release.

**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. Access to electronic records is controlled by password or other user identification code.

**RETENTION AND DISPOSAL:**

File is retained in the office for three years after the debarment action is final and then transferred to the Federal Records Center, and destroyed thirty years after the debarment action is final. Where the period of exclusion is defined as a set period of time, the file will be retained two years after the period of exclusion expires (or the individual is otherwise reinstated), then transferred to the Federal Records Center, and destroyed thirty years after the debarment action is final.

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

Director, Office of Workers' Compensation Programs, 200 Constitution Avenue, NW, Washington, DC 20210.

**NOTIFICATION PROCEDURE:**

An individual wishing to inquire whether this system of records contains information about him/her may write the system manager at the address above. In order for the record to be located, the individual must provide his or her full name, date of birth, and signature.

**RECORD ACCESS PROCEDURE:**

Any individual seeking access to non-exempt information about a record within this system of records may write the system manager, and arrangements will be made to provide review of the file. In order for the record to be located, the individual must provide his or her full name, date of birth, and signature.

**CONTESTING RECORD PROCEDURE:**

Any individual requesting amendment of non-exempt records should contact 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.

**RECORD SOURCE CATEGORIES:**

Information in this system is obtained from Federal, state or local government agencies, state licensing boards, professional organizations, claimants, patients, employers, insurance companies, any other entities or individuals, public documents, and newspapers, as well as from other Department of Labor systems of records.

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

In accordance with 5 U.S.C. 552a(k)(2), investigatory material compiled for law enforcement purposes which is maintained in the investigation files of the Office of Workers' Compensation Programs, is exempt from subsections (c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f) of 5 U.S.C. 552a. The disclosure of information contained in civil investigative files, including the names of persons and agencies to whom the information has been transmitted, would substantially compromise the effectiveness of the investigation. Knowledge of such investigations would enable subjects to take such action as is necessary to prevent detection of illegal activities, conceal evidence or otherwise escape civil enforcement action. Disclosure of this information could lead to the intimidation of, or harm to, informants and witnesses, and their respective families, and the well being of investigative personnel and their families.

**DOL/ESA-51****SYSTEM NAME:**

OLMS Public Disclosure Request Tracking System.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

U.S. Department of Labor, Employment Standards Administration,

Office of Labor-Management Standards, Division of Reports, Disclosure and Audits, U.S. Department of Labor, Washington, DC 20210.

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

Individuals who request documents.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Data regarding the request for copies of annual financial reports, information reports, and constitution and bylaws filed with the Department of Labor by labor unions in accordance with the public disclosure provisions of the Labor-Management Reporting and Disclosure Act of 1959, as amended (LMRDA). Data includes individual requester's name, title (optional), organization (optional), street address, city, state, zip code, telephone number (optional), fax number (optional), e-mail address (optional), user name, and password; type of request (walk-in, telephone, mail, Internet, or fax); date of request; copying and certification charges; name and amount on requester's check; the name and LM Number of the labor union for which information has been requested; and the documents requested.

**AUTHORITY FOR THE MAINTENANCE OF THE SYSTEM:**

29 U.S.C. 435.

**PURPOSE(S):**

These records are used by authorized OLMS disclosure personnel to process requests made to the OLMS Public Disclosure Room, prepare requests for payments, and process payments.

**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:**

Computer storage.

**RETRIEVABILITY:**

By individual name, organization name, address, control number, or request date.

**SAFEGUARDS:**

Computer system is password protected and accessible only to personnel creating and maintaining the database.

**RETENTION AND DISPOSAL:**

The data is deleted after one year or when no longer needed, whichever is later.

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

Chief, Division of Reports, Disclosure and Audits, Employment Standards Administration, Office of Labor-Management Standards, 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. Individuals must furnish their full names for their records to be located and identified.

**RECORD ACCESS PROCEDURES:**

Same as notification procedure. Individuals requesting access must also comply with U.S. Department of Labor Privacy Act regulations on verification of identity at 29 CFR 71.2.

**CONTESTING RECORD PROCEDURES:**

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 pursuant to 29 CFR 71.9.

**RECORD SOURCE CATEGORIES:**

Individuals requesting documents from the OLMS Public Disclosure Room, and OLMS employees processing the request.

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

None.

**DOL/ETA-1****SYSTEM NAME:**

Office of Apprenticeship Training, Employer and Labor Services (OATELS), Bureau of Apprenticeship and Training, Budget and Position Control File.

**SECURITY CLASSIFICATION:**

Unclassified.

**SYSTEM LOCATION:**

Employment and Training Administration (ETA), Office of Apprenticeship Training, Employer and Labor Services (OATELS), Bureau of Apprenticeship and Training (BAT), Frances Perkins Building, 200 Constitution Avenue, NW., Washington, D.C. 20210.

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

Federal employees currently employed by OATELS/BAT.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Personal records concerning grades and salaries.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEMS:**

5 U.S.C. 301

**PURPOSE(S):**

For ready access in preparing management reports as required by the Employment and Training Administration, and controlling OATELS/BAT FTE Ceiling (Full Time Equivalent) employment.

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

None, except for those 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:**

Kardex Files.

**RETRIEVABILITY:**

By region, budget position number, and name of employee, on a manual basis.

**SAFEGUARDS:**

Access to and use of these records are limited to those persons whose official duties require such access.

**RETENTION AND DISPOSAL:**

Retained indefinitely for employment reference requests on former employees.

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

Administrator, Office of Apprenticeship Training, Employer and Labor Services (OATELS), Bureau of Apprenticeship and Training (BAT), Employment and Training Administration, Frances Perkins Building, 200 Constitution Avenue, NW, Washington DC 20210.

**NOTIFICATION PROCEDURE:**

Individuals seeking information concerning the existence of records or the contents of records on himself/herself should furnish a written request to the Administrator, Office of Apprenticeship Training, Employer and Labor Services (OATELS), Bureau of Apprenticeship and Training (BAT), Employment and Training

Administration, Frances Perkins Building, 200 Constitution Avenue, NW., Washington DC 20210. The following information is needed for the records to be located:

- a. Full name
- b. Date of birth

**RECORD ACCESS PROCEDURES:**

See Notification procedure above.

**CONTESTING RECORD PROCEDURE:**

See Notification procedure above.

**RECORD SOURCE CATEGORIES:**

Personal records, including SF-Form 50.

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

Not applicable.

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

Apprenticeship Information Management System (AIMS).

**SECURITY CLASSIFICATION:**

Unclassified.

**SYSTEM LOCATION:**

Employment and Training Administration, Office of Apprenticeship Training, Employer and Labor Services (OATELS), Frances Perkins Building, 200 Constitution Avenue, NW, Washington, DC 20210.

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

Apprentices/Trainees.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

The categories of records include the following identifying information on apprentices/trainees: Social security number, ATR Code, program number, State Code, DOT Code, Job Title, name, birth date, sex, ethnic code, Veteran code, accession date, previous experience date, expected completion date, and apprenticeship school link.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

The National Apprenticeship Act, also referred to as the Fitzgerald Act, 29 U.S.C. 50.

**PURPOSE(S):**

Records of individual apprentice/trainee and apprenticeship/trainee program sponsors are used for the operation and management of the apprenticeship system of training.

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

Statistical records may be disclosed to SOICC (State Occupational Information Coordinating Committee) as basis for

skill needs projection; to AFL-CIO, Joint Apprenticeship Committees and Nonjoint Apprenticeship Committees, and other apprenticeship sponsors to determine an assessment of skill needs and provide program information; to provide program information for State Apprenticeship Agencies (SACs) and other State/Federal agencies concerned with apprenticeship/training needs; to community organizations such as the Urban League, and the Opportunities Industrialization Centers, to utilize apprenticeship information in planning.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

None.

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

Direct Access Storage Devices (DASD); manual files. Magnetic tape is used for archived information.

**RETRIEVABILITY:**

Records are retrieved by the social security number of the apprentice/trainee by program type.

**SAFEGUARDS:**

Two levels of individual passwords for entry to the system. Locked computer room. Manual system: Locked file cabinet. During work hours, records are accessible only to authorized personnel.

**RETENTION AND DISPOSAL:**

Retain for five years and then destroy. Inactive programs are stored on magnetic tape and archived from online AMS file. Inactive and completed apprentices are maintained on tape indefinitely.

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

Administrator, Office of Apprenticeship Training, Employer and Labor Services (OATELS), Bureau of Apprenticeship and Training, Employment and Training Administration, Frances Perkins Building, 200 Constitution Avenue, NW, Washington, DC 20210.

**NOTIFICATION PROCEDURE:**

Individuals seeking information concerning the existence of apprenticeship records or the contents of records on himself/herself should furnish a written request to the Administrator, Office of Apprenticeship Training, Employer and Labor Services (OATELS), Bureau of Apprenticeship and Training (BAT), Employment and Training Administration, Frances Perkins Building, 200 Constitution



Avenue, NW, Washington, DC 20210.  
The following information is needed for records to be located:

- a. Full Name
- b. Date of Birth

**RECORD ACCESS PROCEDURES:**

Individuals can request access to any record pertaining to himself/herself by mailing a request to the Administrator listed above under "Notification Procedure."

**CONTESTING RECORD PROCEDURE:**

Individuals desiring to contest or amend information maintained in this system should direct their written request to the Administrator listed in "Notification Procedure" above. The request to amend should state clearly and concisely what information is being contested, the reasons for contesting, and the proposed amendment to the information sought.

**RECORD SOURCE CATEGORIES:**

Apprentice/trainee and also Program Sponsor.

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

None.

**DOL/ETA-7**

**SYSTEM NAME:**

Employer Application and Attestation File for Permanent and Temporary Alien Workers.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

ETA, Office of Workforce Security (OWS), Division of Foreign Labor Certifications, Frances Perkins Building, 200 Constitution Avenue, NW, Washington, DC 20210; ETA Regional Offices.

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

Employers who file labor certification applications, labor condition applications, or labor attestations to employ one or more alien workers on a permanent or temporary basis. The alien may be known or unknown.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Employers' names, addresses, type and size of businesses, production data, number of workers needed in certain cases, offer of employment terms to known or unknown aliens, and background and qualifications of certain aliens, along with resumes and applications of U.S. workers.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

Immigration and Nationality Act, as amended, 8 U.S.C. 1101(a)(15)(H)(i), and (ii), 1184(c), 1182(m) and (n), 1182(a)(5)(a), 1188, and 1288. Section 122 of Pub. L. 101-649. 8 CFR 214.2(h).

**PURPOSE(S):**

To maintain a record of applicants and actions taken by ETA on requests to employ alien workers.

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

Case files developed in processing labor certification applications, labor condition applications, or labor attestations, are released to the employers which filed such applications, their representatives, and to named alien beneficiaries or their representatives, if requested, to review ETA actions in connection with appeals of denials before the Office of Administrative Law Judges and Federal Courts; to participating agencies such as the DOL Office of Inspector General, Employment Standards Administration, INS, and Department of State in connection with administering and enforcing related immigration laws and regulations; and to the Office of Administrative Law Judges and Federal Courts in connection with appeals of denials of labor certification requests, labor condition applications, and labor attestations.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

None.

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

Manual and/or computerized files are stored in the national office, and each of the ETA Regional Offices.

**RETRIEVABILITY:**

Records are maintained on all applications for alien employment certification labor condition applications, and labor attestations filed by case number and employer names. Partial data elements from each case file are stored on the computer and may be accessed by employer or in certain cases, by the named alien beneficiary.

**SAFEGUARDS:**

Access to records provided only to authorized personnel. The computerized data has a double security access: (1) Initial password entry to the local area network; and (2) restricted access to alien certification data is given only to those employees with a need to know the data in performing their official duties.

**RETENTION AND DISPOSAL:**

Generally retain case file in office for two years, then transfer to a records center for destruction after three additional years.

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

Chief, Division of Foreign Labor Certifications, U.S. Office of Workforce Security, ETA, 200 Constitution Avenue, NW, Washington, DC 20210, and each Regional Administrator or Associate Regional Administrator of the ETA in the Regional Offices.

**NOTIFICATION PROCEDURE:**

Inquiries concerning this system can be directed to the System Manager listed above. The appropriate addresses for the Regional Offices are listed under the section "Responsible Officials" included in this notice.

**RECORD ACCESS PROCEDURES:**

Individuals can request access to any personal record by mailing a request to the appropriate System Manager listed above.

**CONTESTING RECORD PROCEDURES:**

Individuals wanting to contest or amend information maintained in this system should direct their written request to the appropriate System Manager listed above. The request to amend should state clearly and concisely what information is being contested, the reasons for contesting, and the proposed amendment to the information sought.

**RECORD SOURCE CATEGORIES:**

Information comes from labor certification applications, labor condition applications, and labor attestations completed by employers. Certain information is furnished by named alien beneficiaries of labor certification applications, State Employment Security agencies, and the resumes and applications of U.S. workers.

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

None.

**DOL/ETA-8**

**SYSTEM NAME:**

Job Corps Student Pay, Allotment and Management Information System (SPAMIS).

**SECURITY CLASSIFICATION:**

Unclassified.

**SYSTEM LOCATION:**

Job Corps Data Center (JCDC), Building 5159, 205 6th Street, San Marcos, Texas 78666 (and Job Corps Centers).

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

Job Corps students and Job Corps trainees.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Personal information about the student: Pre-enrollment status, number of months enrolled in school, home address, family status and income; characteristics, such as age, race/ethnic group, sex; summarization of basic education and vocational training received in Job Corps; and initial Placement status (entry into employment, school, military service, or other status) after separation from the Program.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

Subtitle C of Title I of the Workforce Investment Act of 1998, 29 U.S.C. 2882 *et seq.*

**PURPOSE(S):**

These records are maintained to pay students and track student academic and vocational outcomes and achievements. This information is used for reporting center/contractor performance that includes enrollment information, performance outcomes while enrolled and placement information after separation.

**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 when relevant, necessary and appropriate:

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

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

(1) Job Corps Center staff and operators/contractors;

(2) Outreach, Admissions and Placement staff and contractors;

(3) Support Contractors;

(4) Federal staff at the regional and national levels; and

**Note:** Selective Service System to ensure that males over 18 years of age are registered.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

None.

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

Magnetic disk and magnetic tape.

**RETRIEVABILITY:**

Social Security Number or name and center enrolled.

**SAFEGUARDS:**

Access to files is limited to designated data processing staff (programmers/analysts) and is restricted by User ID and Passwords. Tape backups to these files are temporarily stored in a physically secure vault in a secure building. Later these backup tape files are transferred to a physically secure off site climate controlled records storage area.

**RETENTION AND DISPOSAL:**

During enrollment, the official record of Job Corps students is maintained in the student record section of the center of enrollment. The official record copy of these documents is filed in the Terminated Students Record folders, which are maintained at the Job Corps Center where a student was enrolled for at least three (3) but no more than four (4) years after termination. After this, the records are retired to the Regional Federal Records Center where they are kept 75 years.

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

Director, Office of Job Corps U.S. Department of Labor, Employment and Training Administration, 200 Constitution Avenue, NW, Washington, DC 20210.

**NOTIFICATION PROCEDURE:**

Letter to System Manager in accordance with 29 CFR Part 71, giving the following information about the Job Corps student or trainee:

Full Name, Social Security Number (if available), Job Corps center at which enrolled (if available), dates of enrollment and separation, if known.

**RECORD ACCESS PROCEDURES:**

Individuals can request access to any record pertaining to himself/herself by mailing a request to the System Manager listed above under "Notification Procedure."

**CONTESTING RECORD PROCEDURES:**

Individuals desiring to contest or amend information maintained in this system should direct their written request to the System Manager listed in "Notification Procedure" above. The request to amend should state clearly and concisely what information is being contested, the reasons for contesting,

and the proposed amendment to the information sought. Documentation should be provided supporting any requests for amending records.

**RECORD SOURCE CATEGORIES:**

Job Corps students, Outreach, Admissions and Placement Contractors; Support Contractors, and Job Corps Centers.

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

None.

**DOL/ETA-15****SYSTEM NAME:**

DOL/ETA Evaluation, Research, Pilot or Demonstration Contractors' Project Files.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

Individual contractors' and subcontractors' project worksites and the Office of Policy and Research (OPR), ETA.

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

Participants in programs of the Job Training Partnership Act (JTPA), Workforce Investment Act (WIA) and other research, pilot or demonstration projects.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Records in the system may include characteristics of program participants, description of program activities, services received by participants, program outcomes and participant follow-up information obtained after the completion of the program.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

Job Training Partnership Act, Title IV; Workforce Investment Act of 1998, secs. 156, 171, and 172; Social Security Act, secs. 441 and 908. (29 U.S.C. 1731-1735; 29 U.S.C. 2856, 2916, and 2917; and 42 U.S.C. 841 and 1108; respectively.

**PURPOSE(S):**

The purpose of this system is to provide necessary information for statutorily-required and other evaluations of Employment and Training Administration (ETA) programs, evaluations of ETA-sponsored pilot and demonstration programs, and other statistical and research studies of employment and training program and policy issues. These records are used solely for statistical research or evaluation 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:**

Records may be disclosed to other Federal, State and local government agencies in order to facilitate the collection of additional data necessary for statistical and evaluation purposes.

**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 on magnetic tape and disks by the U.S. Bureau of the Census and various contractors.

**RETRIEVABILITY:**

Records are retrieved by name or social security number, and by a variety of other unique identifiers that have been created for a specific study.

**SAFEGUARDS:**

Records are maintained on secure computer systems and can only be retrieved with the proper access code.

**RETENTION AND DISPOSAL:**

Records which are individually identified are retained by the contractors for one to five years, then the identifiers are destroyed. After the conclusion of the studies the records are retired to the Federal Records Center and are destroyed after being retained by the Records Center for 20 years.

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

Administrator, Office of Policy and Research, Employment and Training Administration, Frances Perkins Building, 200 Constitution Ave., NW, Washington, DC 20210.

**NOTIFICATION PROCEDURE:**

Address inquiries to the Administrator, Office of Policy and Research, Employment and Training Administration, Frances Perkins Building, 200 Constitution Ave., NW, Washington, DC 20210.

**RECORD ACCESS PROCEDURES:**

Individuals wishing access to a record should contact the System Manager indicated in the notification procedures section above. Individuals requesting access to records must comply with the Department's Privacy Act regulations on verification of identity and access to records.

**CONTESTING RECORD PROCEDURES:**

Individuals wishing to request amendment to records should contact

the System Manager indicated in the notification procedures section.

**RECORD SOURCE CATEGORIES:**

Individual participants, and Federal, State, and local Government agencies.

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

None.

**DOL/ETA-16****SYSTEM NAME:**

Employment and Training Administration Investigatory File.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

Special Program Services Unit, Employment and Training Administration, Frances Perkins Building, 200 Constitution Ave., NW, Washington, DC 20210, and each of the Employment and Training Administration regional offices.

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

Applicants, contractors, subcontractors, grantees, members of the general public, ETA employees, who are alleged violators of ETA laws and regulations.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Reports of alleged and confirmed problems, abuses or deficiencies relative to the administration of programs and operations of the agency, and of possible violations of Federal law whether civil or criminal; reports on resolution of criminal or conduct violations, and information relating to investigations and possible violations of ETA administered programs and projects; incident reports, hotline complaints, and investigative memoranda.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301; Job Training Partnership Act (JTPA) (29 U.S.C. 1501 et seq.); Workforce Investment Act, 29 U.S.C. 2801 et seq.

**PURPOSE(S):**

To ensure that all appropriate records of problems, abuses or deficiencies relative to the administration of programs and operations of the agency are retained and are available to agency, Departmental, or other Federal officials having a need for the information to support actions taken based on the records.

**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 that are relevant and necessary

may be used to disclose pertinent information to states, Workforce Investment Boards, and other DOL-funded grantees as necessary to enforce ETA rules and regulations; and other uses noted in the prefatory statement.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

None.

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

Case files are maintained in manual files and certain information from those manual files, e.g., case number, names and social security numbers, description of allegations, etc., are maintained in a computerized format on the local area network.

**RETRIEVABILITY:**

The manual case files are indexed by case number. Automated records are retrieved by case number, case name, or subject.

**SAFEGUARDS:**

Direct access to the manual case files is restricted to authorized staff members with a need to know the information in the performance of their official duties and responsibilities. Automated records can be accessed only through use of confidential procedures and passwords by authorized staff.

**RETENTION AND DISPOSAL:**

The records containing information or allegations which do not relate to a specific investigation are retained for 5 years after the case is closed, and are then destroyed by shredding. The records containing information or allegations that do result in a specific investigation are placed in an inactive file when the case is closed and destroyed, by shredding, after 10 years.

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

Administrator, Office of Financial and Administrative Management, 200 Constitution Ave., NW, Washington, DC 20210; and each Regional Administrator or Associate Regional Administrator of the ETA in the regional offices.

**NOTIFICATION PROCEDURE:**

Inquiries concerning this system can be directed to: System Manager, U.S. Department of Labor, Employment and Training Administration, Office of Financial and Administrative Management, 200 Constitution Avenue, NW, Washington, DC 20210 or to the appropriate ETA Regional Administrator or Associate Regional Administrator in the regional cities

listed in the Appendix to this notice. Such inquiries should include the full name of the requester, name and address of the organization, service delivery area, and the ETA-administered program or project.

**RECORD ACCESS PROCEDURES:**

Individuals can request access to any record pertaining to himself/herself by mailing a request to the appropriate System Manager listed above under "Notification Procedure." Such inquiries should include the full name of the requester, name and address of the organization, service delivery area, and the ETA-administered program or project.

**CONTESTING RECORD PROCEDURES:**

Individuals desiring to contest or amend information maintained in this system should direct their written request, containing specific details of personal and professional data indicated, to the appropriate System Manager listed in "Notification Procedure" above. The request should 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:**

Individuals, program sponsors, contractors, grantees, complainants, witnesses, Office of the Inspector General and other Federal, State and local government records.

**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/ETA-20**

**SYSTEM NAME:**

Federal Bonding Program, Bondee Certification Files.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

Punch Card Processing Co., 6875 New Hampshire Ave., Takoma Park, MD. 20012, and the McLaughlin Co., Suite 514, 2000 L St., NW, Washington, DC 20038.

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

State Employment Service applicants who are eligible and need bonding to get a job.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Personal (name, SSN, employer name), employment data (DOT and SIC codes), employer data (address, city, State, ZIP code), amount of bond (expressed in \$500 units), cost of bond (expressed in units), effective date of bond, and termination date of bond.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

Job Training Partnership Act, Title IV, Part D (29 U.S.C. 1731-1735); and the Workforce Investment Act of 1998(WIA)(29 U.S.C. 2801 et seq.).

**PURPOSE(S):**

The purpose of these records is to provide information to the DOL project officer on the activities of the contracted project—the Federal Bonding Program. These records are used solely for statistical information and 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:**

Disk Operated System (DOS) and printout.

**RETRIEVABILITY:**

Retrieved by assigned bond number.

**SAFEGUARDS:**

Locked in cabinets in offices of Federal, State, and private buildings.

**RETENTION AND DISPOSAL:**

States and regions dispose of data 3 years and older; The Punch Card Processing Co. keeps master DOS of all bondees prior to 1980.

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

Administrator, Office of Policy Research, Frances Perkins Building, 200 Constitution Ave. NW, Washington, DC 20210.

**NOTIFICATION PROCEDURE:**

Address inquiry to the System Manager at 200 Constitution Ave., NW, Washington, DC, 20210 as indicated above.

**RECORD ACCESS PROCEDURES:**

Individuals can request access to any record pertaining to himself/herself by mailing a request to the System Manager listed above under "Notification Procedure."

**CONTESTING RECORD PROCEDURES:**

Individuals wishing to contest or amend information maintained in this system should direct their written request to the System Manager at the address shown in "Notification Procedure" above. The request to amend or contest should state clearly and concisely what information is being contested, the reasons for contesting, and the proposed amendment to the information sought.

**RECORD SOURCE CATEGORIES:**

State Job Service files, applicants for the bond and bonded employee's employer.

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

None.

**DOL/ETA-22**

**SYSTEM NAME:**

ETA Employee Conduct Investigations.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

Offices in the Employment and Training Administration at the National Office and in each of the regional offices.

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

ETA employee(s) against whom any allegation of misconduct, illegal acts, conflicts of interests, etc., has been made.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Name, organization and other information relating to the individual

involved; investigative report(s), including interviews and other data gathered.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301, 7301, and Executive Order 11222.

**PURPOSE(S):**

To ensure that all appropriate records of problems, misconduct, illegal acts, conflicts of interest, etc., are maintained to document actions taken in each case.

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

None, except for the prefatory routine uses.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

None.

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

**STORAGE:**

Case files are maintained in manual files and certain information from those manual files, e.g., case number, names and social security numbers, description of allegations, etc., are maintained in a computerized format on the local area network.

**RETRIEVABILITY:**

The manual case files are indexed by name and case number. Automated records are retrieved by case number, case name, or subject.

**SAFEGUARDS:**

Direct access to the manual case files is restricted to authorized staff members with a need to know the information in the performance of their official duties and responsibilities. Automated records can be accessed only through use of confidential procedures and passwords by authorized staff.

**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 shredding.

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

Administrator, Office of Financial and Administrative Management, 200 Constitution Ave., NW, Washington, DC 20210, and each Regional Administrator or Associate Regional Administrator in the Employment and Training Administration regional offices.

**NOTIFICATION PROCEDURE:**

Inquiries concerning this system can be directed to the Administrator, Office of Financial and Administrative Management, at the address listed above under "System Manager(s) and Address", or to the appropriate Regional Administrator or Associate Regional Administrator listed under Responsible Officials contained at the end of these notices. Such inquiries should include full name, agency, organization, and office component of the requester.

**RECORD ACCESS PROCEDURES:**

Individuals can request access to any record pertaining to himself/herself by mailing a request to the System Manager listed above under "Notification Procedure." Such inquiries should include full name, agency, organization, and office component of the requester.

**CONTESTING RECORD PROCEDURES:**

Individuals wanting to contest or amend information maintained in this system should direct their written request, containing the data elements listed above, to the System Manager listed above in "Notification Procedure." The request to amend should state clearly and concisely what information is being contested, the reasons for contesting, and the proposed amendment to the information sought.

**RECORD SOURCE CATEGORIES:**

Individuals, 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; investigative reports and interviews.

**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/ETA-24**

**SYSTEM NAME:**

Contracting and Grant Officer Files.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

Employment and Training Administration, Office of Grants and Contracts Management, Office of Financial and Administrative Services, and Assistant Secretary for Administration and Management, Division of Federal Assistance and Contract Services, 200 Constitution Avenue, NW, Washington, DC 20210.

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

Present and former contracting and grant officers.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Name, Social Security Number, job title and grade, qualifications, training and experience, request for appointment as Contracting/Grant Officer, Certification of Appointment, copy of Certificate of Appointment, and other correspondence and documents relating to the individual's qualifications therefor.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

40 U.S.C. 486; Department of Labor Acquisition Regulations 2901.6; Department of Labor Manual Series 2-800.

**PURPOSE(S):**

To ascertain an individual's qualifications to be appointed as a contracting/grant officer; to determine if limitations on procurement authority are appropriate; to complete Certificate of Appointment.

**ROUTINE USES OF RECORD MAINTAINED IN THE SYSTEMS, INCLUDING CATEGORIES AND USERS AND THE PURPOSES OF SUCH USES:**

*A. Disclosure to Office of Government Ethics:*

A record from a system of records may be disclosed, as a routine use, to the Office of Government Ethics for any purposes consistent with that office's mission, including the compilation of statistical data.

*B. Disclosure to a Board of Contract Appeals, GAO or any other entity hearing a contractor's protest or dispute:*

A record from a system of records may be disclosed, as a routine use, to the United States General Accounting Office, to a Board of Contract Appeals, or the Claims Court in bid protest cases or contract dispute cases involving procurement.

**DISCLOSURE TO CONSUMER REPORTING****AGENCIES:**

None.

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

Paper records in file folders.

**RETRIEVABILITY:**

Filed by Contracting/Grant Officer Number and Name.

**SAFEGUARDS:**

Records are maintained in a secured, locked file cabinet accessible to the authorized personnel having need for the information in the performance of their duties.

**RETENTION AND DISPOSAL:**

All documents relating to and reflecting the designation of Contracting/Grant Officers and terminations of such designations, are destroyed 6 years after termination of appointment.

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

Chief, Division of Federal Assistance, U.S. Department of Labor, ETA, 200 Constitution Avenue, NW, Washington, DC 20210.

**NOTIFICATION PROCEDURE:**

Requests for information may be directed to the System Manager.

**RECORD ACCESS PROCEDURES:**

Requests from individuals should be addressed to System Manager. Written requests should contain the full name, current address and telephone number of the individual.

**CONTESTING RECORD PROCEDURES:**

Documentation should be provided supporting any requests for amending records.

**RECORD SOURCE CATEGORIES:**

The contract/grant officer's Certification of Appointment and background information on education, SF-171, and specific information on procurement authorities delegated.

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

None.

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

DOL/ETA Evaluation Research Projects of the Unemployment Compensation System.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

Either in ETA or at an individual contractor's worksite.

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

Any employer or employee covered under a State unemployment compensation law.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

The system contains Claimant (Employee) records, Employer contribution records, and Employee wage records.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

Social Security Act, Sections 303(a)(1), 303(a)(6), and 906, (42 U.S.C. 503(a)(1), 503(a)(6), 902, 1106); 5 U.S.C. 8506(b).

**PURPOSE(S):**

These records are used for researching and evaluating the unemployment compensation and other programs for which ETA is responsible and are not used for any purpose other than that specified under agreement with the State from which the records were obtained. These records are not used in any way for making any determination affecting an identifiable individual's entitlement to unemployment compensation.

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

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 on magnetic tape and disks by ETA and various contractors.

**RETRIEVABILITY:**

Records may be retrieved by individual identifiers; specifically, by name, social security account number, or employer identification number.

**SAFEGUARDS:**

Records are maintained on secure computer systems and can only be retrieved with the proper access code.

**RETENTION AND DISPOSAL:**

Records are retained by ETA or its contractor until the end of each project. At the conclusion of each project, the records obtained from the State are

returned to the State from which they were obtained, or maintained by ETA without potentially identifying information.

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

Administrator, Office of Workforce Security (OWS), Employment and Training Administration, Frances Perkins Building, 200 Constitution Avenue, NW, Washington, DC 20210.

**NOTIFICATION PROCEDURE:**

Address inquiries to the Administrator, Office of Workforce Security, Employment and Training Administration, Frances Perkins Building, 200 Constitution Avenue, NW, Washington, DC 20210.

**RECORD ACCESS PROCEDURES:**

Individuals wishing access to a record should contact the office indicated in the notification procedure section. Individuals requesting access to records must comply with the Privacy Act regulations on verification of identity and access to records.

**CONTESTING RECORD PROCEDURES:**

Individuals wishing to request amendment to records should contact the office indicated in the notification procedures section.

**RECORD SOURCE CATEGORIES:**

State records.

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

None.

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

Standardized Program Information Report (SPIR).

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

Database management contractor's work site.

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

Terminees from Titles IIA (including Older Workers Set-aside), IIC, and III of the Job Training Partnership Act (JTPA); and enrollees who have completed programs/services under the Workforce Investment Act of 1998, Title I (29 U.S.C. 2801 et seq.).

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Records in the system include the Social Security number and various characteristics of each participant, the description of program activities and services they received, and program

outcome and participant follow-up information obtained after completion of the program.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

JTPA Section 165(c)(2)(29 U.S.C. 1575(c)(2)); and the Workforce Investment Act of (29 U.S.C. 2801 et seq.).

**PURPOSE(S):**

To maintain a management information system designed to facilitate the uniform compilation and analysis of programmatic data necessary for reporting, monitoring and evaluation purposes. These records are not used for making determinations about identifiable individuals.

The system will:

(1) Generate statistical reports that will present detailed information on the characteristics of program participants, program activities and outcomes. These data will be reported at the national, state and local levels; and will allow the Department to respond to a variety of requests for specific information regarding the scope of services and the nature of employment that JTPA is providing to its clients.

(2) Provide information that will enable the Department to evaluate the program at different levels (nationally, or at a regional, State or local level) and to provide feedback to States and localities on such evaluations.

(3) Provide a suitable national database to enable the Department to provide technical guidance to local programs in establishing performance goals for their service providers.

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

Disclosure to State and local JTPA organizations those records that are relevant and necessary to allow for comparative self-analysis of their programs' performance.

Disclosure to researchers and public interest groups those records that are relevant and necessary to evaluate the effectiveness of the overall program and its various training components in serving different subgroups of the eligible population.

**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 on magnetic tape and disks at the database management contractor's work site.

**RETRIEVABILITY:**

Primarily by name or participant characteristic. Occasionally by Social Security Number.

**SAFEGUARDS:**

Records are maintained on a secure computer system and can only be retrieved with the proper access code. Public access files and files used for analysis outside the database manager's computer system will be purged of participant identifiers and records will be sufficiently aggregated to prevent identification of any individual.

**RETENTION AND DISPOSAL:**

Data files will be retained indefinitely.

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

Administrator, Office of Workforce Security, Employment and Training Administration, 200 Constitution Avenue, NW, Washington, DC 20210.

**NOTIFICATION PROCEDURE:**

Address inquiries to the Administrator, Office of Workforce Security, Employment and Training Administration, 200 Constitution Avenue, NW, Washington, DC 20210.

**RECORD ACCESS PROCEDURES:**

Individuals wishing access to a record should contact the office indicated in the notification procedure above. Individuals requesting access to records must comply with the Department of Labor's Privacy Act regulations on verification of identity and access to records.

**CONTESTING RECORD PROCEDURES:**

Individuals wishing to request amendment to records should contact the office indicated in the notification procedures section.

**RECORD SOURCE CATEGORIES:**

Individual participant, State and local JTPA program offices.

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

None.

**DOL/ETA-27**

**SYSTEM NAME:**

Youth Opportunity Grant Program Information Files.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

Database management contractor's work site.

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

Enrollees in Youth Opportunity Grant programs funded under Section 169 of the Workforce Investment Act of 1998 (WIA) (29 U.S.C. 2914).

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Records in the system include the Social Security number and various characteristics of each participant, the description of program activities and services they received, and program outcome and participant follow-up information obtained after completion of the program.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

The Workforce Investment Act of 1998 (29 U.S.C. 2801 et seq.)

**PURPOSE(S):**

To maintain a management information system designed to facilitate the uniform compilation and analysis of programmatic data necessary for reporting, monitoring and evaluation purposes. These records are not used for making determinations about identifiable individuals.

The system will:

(1) Generate statistical reports that will present detailed information on the aggregate characteristics of program participants, program activities and outcomes. These data will be reported at the national and grantee levels; and will allow the Department to respond to a variety of requests for specific information regarding the scope of services and the nature of employment that Youth Opportunity Grants are providing to their enrollees.

(2) Provide information that will enable the Department to monitor the program at different levels (nationally, or at the grantee level) and to provide feedback to localities on their progress in implementing their grants.

(3) Provide a suitable national database to enable the Department to provide technical guidance to local programs in establishing performance goals for their service providers.

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

Disclosure to Youth Opportunity Grantees those records that are relevant and necessary to allow for comparative self-analysis of their programs' performance.

Disclosure to researchers and public interest groups those records that are relevant and necessary to evaluate the effectiveness of the overall program and its various training components in serving different subgroups of the eligible population.

**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 on magnetic tape and disks at the database management contractor's work site.

**RETRIEVABILITY:**

Primarily by participant characteristics; Social Security Number, and geographic site codes.

**SAFEGUARDS:**

Records are maintained on a secure computer system and can only be retrieved with the proper access code. Public access files and files used for analysis outside the database manager's computer system will be purged of participant identifiers. Published tables will be sufficiently aggregated to prevent identification of any individual.

**RETENTION AND DISPOSAL:**

Data files will be retained indefinitely.

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

Administrator, Office of Youth Services, Employment and Training Administration, 200 Constitution Avenue, NW, Washington, DC 20210.

**NOTIFICATION PROCEDURE:**

Address inquiries to the Administrator, Office of Youth Services, Employment and Training Administration, 200 Constitution Avenue, NW, Washington, DC 20210.

**RECORD ACCESS PROCEDURES:**

Individuals wishing access to information contained in this system should contact the office indicated in the notification procedure above. Individuals requesting access to files must comply with the Department of Labor's Privacy Act regulations on verification of identity and access to records.

**CONTESTING RECORD PROCEDURES:**

Individuals wishing to request amendment to records should contact the office indicated in the notification procedures section.

**RECORD SOURCE CATEGORIES:**

Individual participant, Youth Opportunity Grantees.

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

None.

**DOL/OIG-1****SYSTEM NAME:**

Investigative Files, Case Tracking System, Analysis, Complaints, Inspections, and Evaluation Files, USDOL/OIG.

**SECURITY CLASSIFICATION:**

Not applicable.

**SYSTEM LOCATION:**

Office of Inspector General, U.S. Department of Labor, 200 Constitution Avenue, NW, Washington, DC 20210 and in the OIG regional and field offices.

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

DOL employees, applicants, contractors, subcontractors, grantees, subgrantees, claimants, complainants, individuals threatening DOL employees or the Secretary of Labor, alleged violators of Labor laws and regulations, union officers, trustees, employers, individuals investigated and interviewed, and individuals filing claims for entitlement or benefits under laws administered by the Department of Labor, individuals providing medical and other services to OWCP, employees of insurance companies and of medical and other services provided to OWCP, and other persons suspected of violations of law and related administrative, civil and criminal provisions.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

The system contains records related to administrative, civil and criminal investigations, complaints, inspections, and evaluations which include: Statements and other information from subjects, targets, witnesses and complainants; material from governmental investigatory or law enforcement organizations (federal, state, local or international) and intelligence information; information of criminal, civil or administrative referrals and/or results of investigations; investigative notes and investigative reports; summary information for indexing and cross referencing; reports and associated materials filed with DOL or other government agencies from, for example, medical providers, grantees, contractors, employers or insurance companies; other evidence and background material existing in any form (i.e. audio or video tape, photographs, computer tapes, disks or compact disks).

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. App. 3 (IG Act); 5 U.S.C. 8101 et seq. (FECA); Health Insurance

Portability and Accountability Act, Pub. L. 104-191; 5 U.S.C. 8401 et seq. (FERSA); 8 U.S.C. 1101 et seq. (IRCA); 18 U.S.C. 874 (Anti Kickback Act); 29 U.S.C. 49 et seq. (Wagner-Peyser Act); 29 U.S.C. 101 et seq. (LMRA); 29 U.S.C. 201 et seq. (FLSA); 29 U.S.C. 401 et seq. (LMRDA); 29 U.S.C. 651 et seq. (OSHA); 29 U.S.C. 793 et seq. (Rehabilitation Act); 29 U.S.C. 1001 et seq. (ERISA); 29 U.S.C. 1501 et seq. (JTPA); 29 U.S.C. 2801 et seq. (Workforce Investment Act of 1998); 30 U.S.C. 801 et seq. (MSHA); 30 U.S.C. 901 et seq. (Black Lung); 31 U.S.C. 3701 et seq. (False Claims Act); 31 U.S.C. 3801 et seq. (Program Fraud Civil Remedies Act); 33 U.S.C. 901 et seq. (Longshore Compensation Act and extension); 40 U.S.C. 276a5 (Davis Bacon); 40 U.S.C. 276c (Copeland Act); 41 U.S.C. 35 et seq. (Walsh-Healey); 41 U.S.C. 351 et seq. (Service Contract Act); Title 18, United States Code (Criminal Code); and Secretary's Order 2-90, dated January 31, 1990 concerning the authorization and organization of the Office of Inspector General in the Department of Labor.

**PURPOSE(S):**

This system is established and maintained to fulfill the purposes of the Inspector General Act of 1978 and to fulfill the responsibilities assigned by that Act concerning investigative activities and the complaints and other information from which investigations, inspections, and evaluations develop. The OIG initiates investigations and evaluations of individuals, inspections and evaluations of entities and programs, maintains information received and developed in this system during the time the investigation, inspection or evaluation is performed, and after each investigation, inspection or evaluation is completed. This system is the repository of all information developed during the course of investigations, inspections, and evaluations. OIG also receives many complaints via its Hotline and other sources. These complaints are reviewed for investigative merit and can be referred for a full investigation, for program agency action, or no action.

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

A. Referral to federal, state, local and foreign investigative and/or prosecutive authorities. A record from a system of records, which indicates either by itself or in combination with other information within the agency's possession, a violation or potential violation of law, whether civil, criminal or administrative and whether arising



by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, may be disclosed as a routine use, to the appropriate federal, foreign, state or local agency or professional organization charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing or investigating or prosecuting such violation or charged with enforcing or implementing the statute or rule, regulation or order issued pursuant thereto.

B. Introduction to a grand jury. A record from a system of records may be disclosed, as a routine use, to a grand jury agent pursuant either to a federal or state grand jury subpoena or to a prosecution request that such record be released for the purpose of its introduction to a grand jury.

C. Referral to federal, state, local or professional licensing boards. A record from a system of records may be disclosed, as a routine use, to any governmental, professional or licensing authority when such record reflects on qualifications, either moral, educational or vocational, of an individual seeking to be licensed or to maintain a license.

D. Disclosure to contractor, grantee or other direct or indirect recipient of federal funds to allow such entity to effect corrective action in the agency's best interest. A record from a system of records may be disclosed, as a routine use, to any direct or indirect recipient of federal funds where such record reflects inadequacies with a recipient's personnel, and disclosure of the record is made to permit a recipient to take corrective action beneficial to the Government.

E. Disclosure to any source, either private or governmental, to the extent necessary to solicit information relevant to any investigation, audit, or evaluation. A record from a system of records may be disclosed, as a routine use, to any source, either private or governmental, to the extent necessary to secure from such source information relevant to and sought in furtherance of an investigation, audit, or evaluation.

F. Disclosure to any domestic or foreign governmental agencies for personnel or other action. A record from a system of records may be disclosed, as a routine use, to a federal, state, local, foreign or international agency, for their use in connection with such entity's assignment, hiring or retention of an individual, issuance of a security clearance, reporting of an investigation of an individual, letting of a contract or issuance of a license, grant or other benefit, to the extent that the

information is relevant and necessary to such agency's decision on the matter.

G. Disclosure to a board of contract appeals, GAO or any other entity hearing a contractor protest or dispute. A record from a system of records may be disclosed, as a routine use, to the United States General Accounting Office, to a board of contract appeals, or to the Court of Federal Claims in bid protest cases or contract dispute cases involving procurement.

H. Disclosure to domestic or foreign governmental law enforcement agency in order to obtain information relevant to an OIG or DOL decision. A record from a system of records may be disclosed, as a routine use, to a domestic or foreign governmental agency maintaining civil, criminal or other relevant information, in order to obtain information relevant to an OIG or DOL decision concerning the assignment, hiring, or retention of an individual, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit, or which may be relevant to an OIG or DOL investigation, audit, or evaluation.

I. Disclosure to OMB or DOJ regarding Freedom of Information Act and Privacy Act advice. Information from a system of records may be disclosed, as a routine use, to the Office of Management and Budget or the Department of Justice in order to obtain advice regarding statutory and other requirements under the Freedom of Information Act or Privacy Act.

J. Disclosure pursuant to the receipt of a valid subpoena. A record from a system of records may be disclosed, as a routine use, in response to a facially valid subpoena for the record. Disclosure may also be made when a subpoena or order is signed by a judge from a court of competent jurisdiction.

K. Disclosure to Treasury and DOJ in pursuance of an *ex parte* court order to obtain taxpayer information from the IRS. A record from a system of records may be disclosed, as a routine use, to the Department of Treasury and the Department of Justice when the OIG seeks an *ex parte* court order to obtain taxpayer information from the Internal Revenue Service.

L. Disclosure to a consumer reporting agency in order to obtain relevant investigatory information. A record from a system of records may be disclosed, as a routine use, to a "consumer reporting agency" as that term is defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) and the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)), for the purposes of

obtaining information in the course of an investigation, audit, or evaluations.

M. Disclosure in accordance with computer matching guidelines. A record may be disclosed to a federal, state, or local agency for use in computer matching programs to prevent and detect fraud and abuse in benefit programs administered by those agencies, to support civil and criminal law enforcement activities of those agencies and their components, and to collect debts and overpayments owed to the agencies and their components. This routine use does not provide unrestricted access to records for such law enforcement and related anti-fraud activities; each request for disclosure will be considered in light of the applicable legal and administrative requirements for the performance of a computer matching program or procedure.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

None.

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

The information is maintained in a variety of mediums including paper, magnetic tapes or discs, and optical digital data discs. The records are maintained in limited access areas during duty hours and in locked offices at all other times.

**RETRIEVABILITY:**

The written case records are indexed by case number. Automated records are retrieved by case number, case name, subject, cross referenced item or, batch retrieval applications.

**SAFEGUARDS:**

Direct access is restricted to authorized staff members of the OIG, their attorneys, or contractor employees on a need-to-know basis. Automated records can be accessed only through use of confidential procedures and passwords.

**RETENTION AND DISPOSAL:**

Closed files relating to a specific investigation are destroyed after ten years. Closed files containing information of an investigative nature but not relating to a specific investigation are destroyed after five years. Closed inspection and evaluation case files are destroyed after five years.

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

Assistant Inspector General for Investigations and the Assistant Inspector General for Communications,

Inspections, and Evaluations, Office of Inspector General, U.S. Department of Labor, 200 Constitution Avenue, NW, Washington, DC 20210.

**NOTIFICATION PROCEDURE:**

Inquiries concerning this system of records can be directed to: Disclosure Officer, Office of Inspector General, U.S. Department of Labor, Room S1303, 200 Constitution Avenue, NW, Washington, DC 20210. Inquiries must comply with the requirements in 29 CFR part 71.

**RECORD ACCESS PROCEDURE:**

Individuals can request access to any record pertaining to him/her by mailing a request to the Disclosure Officer listed above and in accordance with 29 CFR part 71.

**CONTESTING RECORD PROCEDURES:**

Individuals desiring to contest or amend information maintained in the system should direct their request to the Disclosure Officer listed in "Notification Procedure," above.

In addition, the request should state clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought. See 29 CFR part 71.

**RECORD SOURCE CATEGORIES:**

The information contained in this system is received from individual complaints, witnesses, interviews conducted during investigations, Federal, state and local government records, individual or company records, claim and payment files, employer medical records, insurance records, court records, articles from publications, published financial data, corporate information, bank information, telephone data, insurers, service providers, other law enforcement organizations, grantees, subgrantees, contractors and subcontractors.

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

The Secretary of Labor has promulgated regulations which exempt information contained in this system of records from various provisions of the Privacy Act depending upon the purpose for which the information was gathered and for which it will be used. The various law enforcement purposes and the reasons for the exemptions are as follows:

(a) *Criminal Law Enforcement:* In accordance with 5 U.S.C. 552a(j)(2) information compiled for this purpose is exempt from all of the provisions of the Act except the following sections: (b), (c)(1) and (2), (e)(4) (A) through (F), (e)(6), (7), (9), (10), and (11), and (i).

This material is exempt because the disclosure and other requirements of the Act would substantially compromise the efficacy and integrity of OIG operations in a number of ways. Indeed, disclosure of even the existence of these files would be problematic. Disclosure could enable suspects to take action to prevent detection of criminal activities, conceal evidence, or escape prosecution. Required disclosure of information contained in this system could lead to the intimidation of, or harm to, informants, witnesses and their respective families or OIG personnel and their families. Disclosure could invade the privacy of individuals other than subjects and disclose their identity when confidentiality was promised or impliedly promised to them. Disclosure could interfere with the integrity of information which would otherwise be privileged, (*see, e.g.*, 5 U.S.C. 552(b)(5)), and which could interfere with other important law enforcement concerns: (*see, e.g.*, 5 U.S.C. 552 (b)(7)).

The requirement that only relevant and necessary information be included in a criminal investigative file is contrary to investigative practice which requires a full and complete inquiry and exhaustion of all potential sources of information. See, 5 U.S.C. 552a(e)(1).

Similarly, maintaining only those records which are accurate, relevant, timely and complete and which assure fairness in a determination is contrary to established investigative techniques. See, 5 U.S.C. 552a(e)(5). Requiring investigators to obtain information to the greatest extent practicable directly from the subject individual would be counterproductive to performance of clandestine criminal investigation. See, U.S.C. 552a(e)(2). Finally, providing notice to an individual interviewed of the authority of the interviewer, the purpose to which the information provided may be used, the routine uses of that information and the effect upon the individual should he/she choose not to provide the information sought could discourage the free flow of information in a criminal law enforcement inquiry. 5 U.S.C. 552a(e)(3).

(b) *Other Law Enforcement:* In accordance with 5 U.S.C. 552a(k)(2), investigatory material compiled for law enforcement purposes (to the extent it is not already exempted by 5 U.S.C. 552a(j)(2)), is exempted from the following provisions of the ACT: (c)(3), (d), (e)(1), (e)(4)(G), (H) and (I), and (f). This material is exempt because the disclosure and other requirements of the Act could substantially compromise the efficacy and integrity of OIG operations. Disclosure could invade the privacy of other individuals and disclose their

identity when they were expressly promised confidentiality. Disclosure could interfere with the integrity of information which would otherwise be subject to privileges, *see, e.g.*, 5 U.S.C. 552(b)(5), and which could interfere with other important law enforcement concerns. *See, e.g.*, 5 U.S.C. 552(b)(7).

(c) *Protective Services:* In accordance with 5 U.S.C. 552(k)(3) investigatory material maintained in connection with assisting the U.S. Secret Service to provide protective services to the President of the United States or other individuals pursuant to 18 U.S.C. 3056 is exempt from the following sections of the ACT: (c)(3), (d), (e)(1), (e)(4)(G), (H) and (I), and (f). This material is exempt in order to enable the OIG to continue its support of the Secret Service without compromising the effectiveness of either agency's activities.

(d) *Contract Investigations:* In accordance with 5 U.S.C. 552a(k)(5), investigatory material compiled solely for the purpose of determining integrity, suitability, eligibility, qualifications, or employment for a DOL contract is exempt from the following sections of the ACT: (c)(3), (d), (e)(1), (e)(4)(G), (H), (I) and (f). This exemption was obtained in order to protect from disclosure the identity of a confidential source when an express promise of confidentiality has been given in order to obtain information from sources who would otherwise be unwilling to provide necessary information.

**DOL/OIG-2**

**SYSTEM NAME:**

Freedom of Information/Privacy Act Records.

**SECURITY CLASSIFICATION:**

Not applicable.

**SYSTEM LOCATION:**

Freedom of Information/Privacy Acts Disclosure Office, Office of Inspector General, U. S. Department of Labor, 200 Constitution Avenue, NW, Washington, DC 20210.

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

Persons who request disclosure of records pursuant to the Freedom of Information Act, persons who request access to or correction of records pertaining to themselves contained in the Office of Inspector General's systems of records pursuant to the Privacy Act; where applicable, persons about whom records have been requested or about whom information is contained in requested records; and persons representing those identified above.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

The system contains (a) copies of all correspondence and internal memorandums related to the Freedom of Information Act and Privacy Act requests, and related records necessary to the processing of such requests; (b) copies of all documents relevant to appeals and lawsuits under the Freedom of Information and Privacy Acts.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

Freedom of Information Act, 5 U.S.C. 552, the Privacy Act, 5 U.S.C. 552a and 29 CFR parts 70 and 71.

**PURPOSE(S):**

This system of records is maintained in order to reflect, accurately, the identity of requesters, the substance of each request, the responses made by the OIG and in order to comply with the reporting and accounting requirements of the Freedom of Information and Privacy Acts. Materials within this system also reflect the reasons for the disclosure and/or denial of requests or portions of requests and any further action on requests which may be appealed and/or litigated.

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

A. Referral to federal, state, local and foreign investigative and/or prosecutive authorities. A record from a system of records, which indicates either by itself or in combination with other information within the agency's possession a violation or potential violation of law, whether civil, criminal or regulatory and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, may be disclosed as a routine use to the appropriate federal, foreign, state or local agency or professional organization charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing or investigating or prosecuting such violation or charged with enforcing or implementing the statute or rule, regulation or order issued pursuant thereto.

B. Introduction to a grand jury. A record from a system of records may be disclosed, as a routine use, to a grand jury agent pursuant either to a federal or state grand jury subpoena or to a prosecution request that such record be released for the purpose of its introduction to a grand jury.

C. Referral to federal, state, local or professional licensing boards. A record from a system of records may be

disclosed, as a routine use, to any governmental, professional or licensing authority when such record reflects on qualifications, either moral, educational or vocational, of an individual seeking to be licensed or to maintain a license.

D. Disclosure to contractor, grantee or other direct recipient of federal funds to allow such entity to effect corrective action in agency's best interest. A record from a system of records may be disclosed, as a routine use, to any direct or indirect recipient of federal funds where such record reflects serious inadequacies with a recipient's personnel, and disclosure of the record is made to permit a recipient to take corrective action beneficial to the Government.

E. Disclosure to any source, either private or governmental, to the extent necessary to solicit information relevant to any investigation, audit or inspection. A record from a system of records may be disclosed, as a routine use, to any source, either private or governmental, to the extent necessary to secure from such source information relevant to and sought in furtherance of an investigation, audit, or evaluation.

F. Disclosure to any domestic or foreign governmental agencies for personnel or other action. A record from a system of records may be disclosed, as a routine use, to a federal, state, local, foreign or international agency, for their use in connection with such entity's assignment, hiring or retention of an individual, issuance of a security clearance, reporting of an investigation of an individual, letting of a contract or issuance of a license, grant or other benefit, to the extent that the information is relevant and necessary to such agency's decision on the matter.

G. Disclosure to a board of contract appeals, GAO or any other entity hearing a contractor protest or dispute. A record from a system of records may be disclosed, as a routine use, to the United States General Accounting Office, to a board of contract appeals, or to the claims court in bid protest cases or contract dispute cases involving procurement.

H. Disclosure to domestic or foreign governmental law enforcement agency in order to obtain information relevant to an OIG or DOL decision. A record from a system of records may be disclosed, as a routine use, to a domestic or foreign governmental agency maintaining civil, criminal or other relevant information, in order to obtain information relevant to a OIG or DOL decision concerning the assignment, hiring, or retention of an individual, the issuance of a security clearance, the letting of a contract, or

the issuance of a license, grant, or other benefit, or which may be relevant to an OIG or DOL investigation, audit, or evaluation.

I. Disclosure to OMB or DOJ regarding Freedom of Information Act and Privacy Act advice. Information from a system of records may be disclosed, as a routine use, to the Office of Management and Budget or the Department of Justice in order to obtain advice regarding statutory and other requirements under the Freedom of Information Act or Privacy Act.

J. Disclosure pursuant to the receipt of a valid subpoena. A record from a system of records may be disclosed, as a routine use, in response to a facially valid subpoena for the record. Disclosure may also be made when a subpoena or order is signed by a judge from a court of competent jurisdiction.

K. Disclosure to Treasury and DOJ in pursuance of an *ex parte* court order to obtain taxpayer information from the IRS. A record from a system of records may be disclosed, as a routine use, to the Department of Treasury and the Department of Justice when the OIG seeks an *ex parte* court order to obtain taxpayer information from the Internal Revenue Service.

L. Disclosure to a consumer reporting agency in order to obtain relevant investigatory information. A record from a system of records may be disclosed, as a routine use, to a "consumer reporting agency" as that term is defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) and the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)), for the purposes of obtaining information in the course of an investigation, audit, or evaluation.

M. Disclosure in accordance with computer matching laws, regulations and/or guidelines. A record may be disclosed to a federal, state, or local agency for use in computer matching programs to prevent and detect fraud and abuse in benefit programs administered by those agencies, to support civil and criminal law enforcement activities of those agencies and their components, and to collect debts and overpayments owed to the agencies and their components. This routine use does not provide unrestricted access to records for such law enforcement and related anti-fraud activities; each request for disclosure will be considered in light of the applicable legal and administrative requirements for the performance of a computer matching program or procedure.

**DISCLOSURE TO CONSUMER REPORTING****AGENCIES:**

None.

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

The records in this system are maintained in a variety of mediums including paper, magnetic tapes or discs, and optical digital data discs.

**RETRIEVABILITY:**

A record is retrieved by the name of the individual, the case file numbers or by other subject matter covered by the request.

**SAFEGUARDS:**

This system of records is maintained at OIG Headquarters which is located in a building protected by twenty-four hour guard service. The system is kept in locked storage when not in use and is accessible only on a need to know basis. Offices containing records are restricted to authorized personnel only. Automated data can only be accessed with a password by authorized users.

**RETENTION AND DISPOSAL:**

These records are destroyed six years after final agency determination or 3 years after final court adjudication, whichever is later.

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

Disclosure Officer, Office of Inspector General, U.S. Department of Labor, Room S1303, 200 Constitution Avenue, NW., Washington, DC 20210.

**NOTIFICATION PROCEDURE:**

Inquiries concerning this system can be directed to: Disclosure Officer, Office of Inspector General, 200 Constitution Avenue, NW., Washington, DC 20210. Inquiries must comply with the requirements in 29 CFR part 71.

**RECORD ACCESS PROCEDURES:**

Individuals can request access to any record pertaining to him/her by mailing a request to the Disclosure Officer listed above under 29 CFR 71.2.

**CONTESTING RECORD PROCEDURES:**

Individuals desiring to contest or amend information maintained in the system should direct their written request to the Disclosure Officer listed in "Notification Procedure" above. In addition, the request should state clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought. See 29 CFR 71.9.

**RECORD SOURCE CATEGORIES:**

The information contained in this system is received from the persons or entities making requests, the systems of records searched to respond to requests, and other agencies referring requests for access or correction of records originating in the Office of Inspector General.

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

Some records obtained and stored in this system originate from other systems of records and have been exempted under the provisions of the Freedom of Information/Privacy Acts to the same extent as the systems of records from which they were obtained.

**DOL/OIG-3****SYSTEM NAME:**

Investigative Case Files, Case Development and Intelligence Records.

**SECURITY CLASSIFICATION:**

Not applicable.

**SYSTEM LOCATION:**

Office of Inspector General, U.S. Department of Labor, 200 Constitution Avenue, NW, Washington, DC 20210 and in the OIG regional and field offices.

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

Individuals or entities known or suspected of being involved in or associated with criminal activity, labor racketeering, or other violation of law or regulation and associates of those individuals.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

The system of records contains materials related to criminal and civil investigations, intelligence and other background information based on reasonable suspicion of criminal activity; statements and other material from subjects and witnesses; information from government investigatory or law enforcement organizations and projects (federal, state, local or international); investigative notes and reports; summary information for indexing and cross-referencing; other evidence and background materials existing in any form (e.g. audio or video tape, photographs, computer tapes or disks).

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. App 3; the Act of March 4, 1913 (37 Stat. 736) 29 U.S.C. 551; Secretary's Order 2-90, dated January 31, 1990 concerning the authorization and organization of the Office of Inspector General at the Department;

and the Omnibus Crime Control Act of 1984; and 28 CFR 23.1.

**PURPOSE(S):**

This system of records is maintained as a repository for: (1) Records created as a result of targeting, surveys and projects for the development of cases and investigations for the Office of Investigations and for the Office of Labor Racketeering; (2) intelligence information concerning individuals identified as potential violators of criminal, labor and labor-related laws and other individuals associated with them; and (3) for other research and analysis to share with other law enforcement organizations if in compliance with 28 CFR 23.1.

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

A. Referral to federal, state, local and foreign investigative and/or prosecutive authorities. A record from a system of records, which indicates either by itself or in combination with other information within the agency's possession a violation or potential violation of law, whether civil, criminal or regulatory and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, may be disclosed as a routine use, to the appropriate federal, foreign, state or local agency or professional organization charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing or investigating or prosecuting such violation or charged with enforcing or implementing the statute or rule, regulation or order issued pursuant thereto.

B. Introduction to a grand jury. A record from a system of records may be disclosed, as a routine use, to a grand jury agent pursuant either to a federal or state grand jury subpoena or to a prosecution request that such record be released for the purpose of its introduction to a grand jury.

C. Referral to federal, state, local or professional licensing boards. A record from a system of records may be disclosed, as a routine use, to any governmental, professional or licensing authority when such record reflects on qualifications, either moral, educational or vocational, of an individual seeking to be licensed or to maintain a license.

D. Disclosure to contractor, grantee or other indirect recipient of federal funds to allow such entity to effect corrective action in agency's best interest. A record from a system of records may be

disclosed, as a routine use, to any direct or indirect recipient of federal funds where such record reflects serious inadequacies with a recipient's personnel, and disclosure of the record is made to permit a recipient to take corrective action beneficial to the Government.

E. Disclosure to any source, either private or governmental, to the extent necessary to solicit information relevant to any investigation, audit or inspection. A record from a system of records may be disclosed, as a routine use, to any source, either private or governmental, to the extent necessary to secure from such source information relevant to and sought in furtherance of an investigation, audit, or evaluation.

F. Disclosure to any domestic or foreign governmental agencies for personnel or other action. A record from a system of records may be disclosed, as a routine use, to a federal, state, local, foreign or international agency, for their use in connection with such entity's assignment, hiring or retention of an individual, issuance of a security clearance, reporting of an investigation of an individual, letting of a contract or issuance of a license, grant or other benefit, to the extent that the information is relevant and necessary to such agency's decision on the matter.

G. Disclosure to a board of contract appeals, GAO or any other entity hearing a contractor protest or dispute. A record from a system of records may be disclosed, as a routine use, to the United States General Accounting Office, to a board of contract appeals, or to the claims court in bid protest cases or contract dispute cases involving procurement.

H. Disclosure to domestic or foreign governmental law enforcement agency in order to obtain information relevant to an OIG or DOL decision. A record from a system of records may be disclosed, as a routine use, to a domestic or foreign governmental agency maintaining civil, criminal or other relevant enforcement information, or other pertinent information, in order to obtain information relevant to an OIG or DOL decision concerning the assignment, hiring, or retention of an individual, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit, or which may be relevant to an OIG or DOL investigation, audit, or evaluation.

I. Disclosure to OMB or DOJ regarding Freedom of Information Act and Privacy Act advice. Information from a system of records may be disclosed, as a routine use, to the Office of Management and Budget or the Department of Justice in

order to obtain advice regarding statutory or other requirements under the Freedom of Information Act or Privacy Act.

J. Disclosure pursuant to the receipt of a valid subpoena. A record from a system of records may be disclosed, as a routine use, in response to a facially valid subpoena for the record.

Disclosure may also be made when a subpoena or order is signed by a judge from a court of competent jurisdiction.

K. Disclosure to Treasury and DOJ in pursuance of an *ex parte* court order to obtain taxpayer information from the IRS. A record from a system of records may be disclosed, as a routine use, to the Department of Treasury and the Department of Justice when the OIG seeks an *ex parte* court order to obtain taxpayer information from the Internal Revenue Service.

L. Disclosure to a consumer reporting agency in order to obtain relevant investigatory information. A record from a system of records may be disclosed, as a routine use, to a "consumer reporting agency" as that term is defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) and the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)), for the purposes of obtaining information in the course of an investigation, audit, or evaluation.

M. Disclosure in accordance with computer matching laws, regulations and/or guidelines. A record may be disclosed to a federal, state, or local agency for use in computer matching programs to prevent and detect fraud and abuse in benefit programs administered by those agencies, to support civil and criminal law enforcement activities of those agencies and their components, and to collect debts and overpayments owed to the agencies and their components. This routine use does not provide unrestricted access to records for such law enforcement and related anti-fraud activities; each request for disclosure will be considered in light of the applicable legal and administrative requirements for the performance of a computer matching program or procedure.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

None.

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

**STORAGE:**

The records are stored on a variety of mediums including paper, magnetic tapes or discs, and/or optical digital data discs.

**RETRIEVABILITY:**

Retrievable by name of individual subject, other personal identifiers and other non-personal elements.

**SAFEGUARDS:**

Available on an official need-to-know basis and kept in locked storage when not in use. Offices containing records are restricted to authorized personnel only. Any automated data can only be accessed by a password from a authorized user. Computer terminals with access are away from general staff and housed in locked offices.

**RETENTION AND DISPOSAL:**

Closed Labor Racketeering case files are retired to the Federal Records Center and retained for 20 years. All other cases are destroyed 10 years after the files are closed. Intelligence information maintained in electronic files are reviewed every 5 years for relevance and importance. Information deemed obsolete or otherwise unreliable is deleted after 5 years. Electronic information for which accuracy of information and reliability of source cannot be confirmed is deleted after 1 year. Electronic information collected for which reliability of source and reasonable suspicion of criminal activity has been confirmed and linked to long term, known organized crime activity can be kept in excess of 5 years. All records are destroyed 20 years after cut off date.

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

Assistant Inspector General for Investigations, OIG/DOL, 200 Constitution Avenue, NW., Washington, DC 20210.

**NOTIFICATION PROCEDURE:**

Inquiries concerning this system can be directed to: Disclosure Officer, OIG, 200 Constitution Avenue, NW., Washington, DC 20210. Inquiries must comply with the requirements in 29 CFR part 71.

**RECORD ACCESS PROCEDURE:**

Individuals can request access to any record pertaining to him/her by mailing a request to the Disclosure Officer listed above and in accordance with 29 CFR 71.2.

**CONTESTING RECORD PROCEDURES:**

Individuals desiring to contest or amend information maintained in the system should direct their request to the Disclosure Officer listed in 29 CFR part 71. In addition, the request should state clearly and concisely what information is being contested, the reasons for contesting it, and the proposed

amendment sought for the information. See 29 CFR part 71.

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

The Secretary of Labor has promulgated regulations which exempt information contained in this system of records from various provisions of the Privacy Act depending upon the purpose for which the information was gathered and for which it will be used. The various law enforcement purposes and the reasons for the exemptions are as follow:

(a) *Criminal Law Enforcement:* Information compiled for this purpose is exempt from all of the provisions of the Act except the following sections: (b), (c)(1) and (2), (e)(4)(A) through (F), (e)(6), (7), (9), (10), and (11), and (i). This material is exempt because the disclosure and other requirements of the Act would substantially compromise the efficacy and integrity of OIG operations in a number of ways. Indeed, disclosure of even the existence of these files would be problematic.

Disclosure could enable suspects to take action to prevent detection of criminal activities, conceal evidence, or escape prosecution. Required disclosure of information contained in this system could lead to the intimidation of, or harm to, informants, witnesses and their respective families or OIG personnel and their families.

Disclosure could invade the privacy of individuals other than subjects and disclose their identity when confidentiality was promised to them. Disclosures from these files could interfere with the integrity of other information which would otherwise be privileged, *see, e.g.*, 5 U.S.C. 552(b)(5) and which could interfere with other important law enforcement concerns, *see, e.g.*, 5 U.S.C. 552(b)(7).

The requirement that only relevant and necessary information be included in a criminal investigative file is contrary to good investigative practices which require a full and complete inquiry and exhaustion of all potential sources of information. 5 U.S.C. 552a(e)(1). Similarly, maintaining only those records which are accurate, relevant, timely and complete and which assure fairness in a determination is contrary to established investigative techniques. 5 U.S.C. 552a(e)(5). Requiring investigators to obtain information to the greatest extent practicable directly from the subject individual would be counterproductive to performance of a clandestine criminal investigation. 5 U.S.C. 552a(e)(2). Finally, providing notice to an individual interviewed of the authority

of the interviewer, the purpose to which the information provided may be used, the routine uses of that information and the effect upon the individual should he choose not to provide the information sought could discourage the free flow of information in a criminal law enforcement inquiry. 5 U.S.C. 552a(e)(3).

(b) *Other Law Enforcement:* In accordance with 5 U.S.C. 552a(k)(2), investigatory material compiled for law enforcement purposes (to the extent it is not already exempted by 5 U.S.C. 552a(j)(2)), is exempted from the following provisions of the Act: (c)(3), (d), (e)(1), (e)(4)(G), (H), (I) and (f). This material is exempt because the disclosure and other requirements of the act could substantially compromise the efficacy and integrity of OIG operations. Disclosure could invade the privacy of other individuals and disclose their identity when they were expressly promised confidentiality.

Disclosure could interfere with the integrity of information which would otherwise be subject to privileges, *see, e.g.*, 5 U.S.C. 552(b)(5), and which could interfere with other important law enforcement concerns. *See, e.g.*, 5 U.S.C. 552(b)(7).

**DOL/OIG-5**

**SYSTEM NAME:**

Audit Information, Tracking and Reporting System US DOL/OIG.

**SECURITY CLASSIFICATION:**

Not applicable.

**SYSTEM LOCATION:**

Office of Inspector General, U.S. Department of Labor, Frances Perkins Building, 200 Constitution Avenue, NW, Washington, DC 20210 and the OIG regional and field offices.

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

Auditors, certain administrative support staff, and contractors of the Office of Inspector General.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Records or information contained in the system may include: (1) Employee or OIG contractor; (2) social security number; (3) grade/step; (4) training; (5) audit and investigative case tracking data (e.g. audit/project/report number, program, findings, results, etc.); (6) other statistical information.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

Pub. L. 95-452, 5 U.S.C. App. 3, Inspector General Act of 1978. Secretary's Order 2-90 dated January 31, 1990 establishing the Office of

Inspector General at the Department of Labor.

**PURPOSE(S):**

This system is maintained in order to act as a management information system for OIG audit projects and personnel and to assist in the accurate and timely maintenance of information.

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

A. Referral to federal, state, local and foreign investigative and/or prosecutive authorities. A record from a system of records, which indicates either by itself or in combination with other information within the agency's possession a violation or potential violation of law, whether civil, criminal or regulatory and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, may be disclosed as a routine use, to the appropriate federal, foreign, state or local agency or professional organization charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing or investigating or prosecuting such violation or charged with enforcing or implementing the statute or rule, regulation or order issued pursuant thereto.

B. Introduction to a grand jury. A record from a system of records may be disclosed, as a routine use, to a grand jury agent pursuant either to a federal or state grand jury subpoena or to a prosecution request that such record be released for the purpose of its introduction to a grand jury.

C. Referral to federal, state, local or professional licensing boards. A record from a system of records may be disclosed, as a routine use, to any governmental, professional or licensing authority when such record reflects on qualifications, either moral, educational or vocational, of an individual seeking to be licensed or to maintain a license.

D. Disclosure to contractor, grantee or other direct recipient of federal funds to allow such entity to effect corrective action in the agency's best interest. A record from a system of records may be disclosed, as a routine use, to any direct or indirect recipient of federal funds where such record reflects inadequacies with a recipient's personnel, and disclosure of the record is made to permit a recipient to take corrective action beneficial to the Government.

E. Disclosure to any source, either private or governmental, to the extent necessary to solicit information relevant

to any investigation, audit or evaluation. A record from a system of records may be disclosed, as a routine use, to any source, either private or governmental, to the extent necessary to secure from such source information relevant to and sought in furtherance of an investigation, audit, or evaluation.

F. Disclosure to any domestic or foreign governmental agencies for personnel or other action. A record from a system of records may be disclosed, as a routine use, to a federal, state, local, foreign or international agency, for their use in connection with such entity's assignment, hiring or retention of an individual, issuance of a security clearance, reporting of an investigation of an individual, letting of a contract or issuance of a license, grant or other benefit, to the extent that the information is relevant and necessary to such agency's decision on the matter.

G. Disclosure to a board of contract appeals, GAO or any other entity hearing a contractor protest or dispute. A record from a system of records may be disclosed, as a routine use, to the United States General Accounting Office, to a board of contract appeals, or to the claims court in bid protest cases or contract dispute cases involving procurement.

H. Disclosure to domestic or foreign governmental law enforcement agency in order to obtain information relevant to an OIG or DOL decision. A record from a system of records may be disclosed, as a routine use, to a domestic or foreign governmental agency maintaining civil, criminal or other relevant information, in order to obtain information relevant to a OIG or DOL decision concerning the assignment, hiring, or retention of an individual, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit, or which may be relevant to an OIG or DOL investigation, audit, or evaluation.

I. Disclosure to OMB or DOJ regarding Freedom of Information Act and Privacy Act advice. Information from a system of records may be disclosed, as a routine use, to the Office of Management and Budget or the Department of Justice in order to obtain advice regarding statutory and other requirements under the Freedom of Information Act or Privacy Act.

J. Disclosure pursuant to the receipt of a valid subpoena. A record from a system of records may be disclosed, as a routine use, in response to a facially valid subpoena for the record. Disclosure may also be made when a subpoena or order is signed by a judge from a court of competent jurisdiction.

K. Disclosure to Treasury and DOJ in pursuance of an *ex parte* court order to obtain taxpayer information from the IRS. A record from a system of records may be disclosed, as a routine use, to the Department of Treasury and the Department of Justice when the OIG seeks an *ex parte* court order to obtain taxpayer information from the Internal Revenue Service.

L. Disclosure to a consumer reporting agency in order to obtain relevant investigatory information. A record from a system of records may be disclosed, as a routine use, to a "consumer reporting agency" as that term is defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) and the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)), for the purposes of obtaining information in the course of an investigation, audit, or evaluation.

M. Disclosure in accordance with computer matching laws, regulations and/or guidelines. A record may be disclosed to a federal, state, or local agency for use in computer matching programs to prevent and detect fraud and abuse in benefit programs administered by those agencies, to support civil and criminal law enforcement activities of those agencies and their components, and to collect debts and overpayments owed to the agencies and their components. This routine use does not provide unrestricted access to records for such law enforcement and related anti-fraud activities; each request for disclosure will be considered in light of the applicable legal and administrative requirements for the performance of a computer matching program or procedure.

**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 on a variety of mediums including paper, magnetic tapes or discs, and optical digital data discs.

**RETRIEVABILITY:**

Records are retrieved by computer using individual name(s) or project/case name.

**SAFEGUARDS:**

Direct access is restricted to authorized staff members and contractors of the OIG. Automated records can be accessed only through use of confidential procedures and

passwords by authorized personnel in both OIG Headquarters and regional and field offices.

**RETENTION AND DISPOSAL:**

Closed files are destroyed after three years.

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

Assistant Inspector General for Audit, 200 Constitution Avenue, NW., Washington, DC 20210.

**NOTIFICATION PROCEDURE:**

Inquiries concerning this system can be directed to: Disclosure Officer, Office of Inspector General, 200 Constitution Avenue, NW., Washington, DC 20210. Inquiries must comply with the requirements in 29 CFR part 71.

**RECORDS SOURCE CATEGORIES:**

Official personnel folders; other personnel documents, activity supervisors, audit/investigation report standard forms.

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

The Secretary of Labor has promulgated regulations which exempt information contained in this system of records from various provisions of the Privacy Act depending upon the purpose for which the information was gathered and for which it will be used.

The various law enforcement purposes and the reasons for the exemptions are as follow:

(a) *Criminal Law Enforcement:* Information compiled for this purpose is exempt from all of the provisions of the Act except the following sections: (b), (c)(1) and (2), (e)(4)(A) through (F), (e)(6), (7), (9), (10), and (11), and (i). This material is exempt because the disclosure and other requirements of the Act would substantially compromise the efficacy and integrity of OIG operations in a number of ways. Indeed, disclosure of even the existence of these files would be problematic. Disclosure could enable suspects to take action to prevent detection of criminal activities, conceal evidence, or escape prosecution.

Required disclosure of information contained in this system could lead to the intimidation of, or harm to, informants, witnesses and their respective families or OIG personnel and their families.

Disclosure could invade the privacy of individuals other than subjects and disclose their identity when confidentiality was promised to them. Disclosures from these files could interfere with the integrity of other information which would otherwise be privileged, *see, e.g.*, 5 U.S.C. 552(b)(5), and which could interfere with other

important law enforcement concerns, *see, e.g.*, 5 U.S.C. 552(b)(7).

The requirement that only relevant and necessary information be included in a criminal investigative file is contrary to good investigative practices which require a full and complete inquiry and exhaustion of all potential sources of information. 5 U.S.C. 552a(e)(1). Similarly, maintaining only those records which are accurate, relevant, timely and complete and which assure fairness in a determination is contrary to established investigative techniques.

5 U.S.C. 552a(e)(5). Requiring investigators to obtain information to the greatest extent practicable directly from the subject individual would be counterproductive to performance of a clandestine criminal investigation. 5 U.S.C. 552a(e)(2). Finally providing notice to an individual interviewed of: The authority of the interviewer, the purpose to which the information provided may be used, the routine uses of that information and the effect upon the individual should he choose not to provide the information sought could discourage the free flow of information in a criminal law enforcement inquiry. 5 U.S.C. 552a(e)(3).

(b) *Other Law Enforcement:* In accordance with 5 U.S.C. 552a(k)(2), investigatory material compiled for law enforcement purposes (to the extent it is not already exempted by 5 U.S.C. 552a(j)(2)), is exempted from the following provisions of the ACT: (c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f). This material is exempt because the disclosure and other requirements of the Act could substantially compromise the efficacy and integrity of OIG operations. Disclosure could invade the privacy of other individuals and disclose their identity when they were expressly promised confidentiality. Disclosure could interfere with the integrity of information which would otherwise be subject to privileges, *see, e.g.*, 5 U.S.C. 552(b)(5), and which could interfere with other important law enforcement concerns. *See, e.g.*, 5 U.S.C. 552(b)(7).

(c) *Protective Services:* In accordance with 5 U.S.C. 552a(k)(3) investigatory material maintained in connection with assisting the U.S. Secret Service to provide protective services to the President of the United States or other individuals pursuant to 18 U.S.C. 3056 is exempt from the following section of the ACT: (c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f). This material is exempt in order to enable the OIG to continue its support of the Secret Service without compromising the effectiveness of either agency's activities.

(d) *Contract Investigations:* In accordance with 5 U.S.C. 552a(k)(5), investigatory material compiled solely for the purpose of determining integrity, suitability, eligibility, or qualifications for a DOL contract is exempt from the following sections of the ACT: (c)(3), (d), (e)(1), (e)(4)(G), (H), and (I) and (f). This exemption was obtained in order to protect from disclosure the identity of a confidential source when an express promise of confidentiality has been given in order to obtain information from sources who would otherwise be unwilling to provide necessary information.

#### **DOL/LAB-1**

##### **SYSTEM NAME:**

Arbitrators/Experts/Consultant Candidates' Biographies.

##### **SECURITY CLASSIFICATION:**

None.

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

U.S. National Administrative Office, U.S. Department of Labor, Bureau of International Labor Affairs, 200 Constitution Avenue, NW, Washington, DC 20210.

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

Individuals who applied, are nominated or are selected to serve as arbitrators, experts, advisors, consultants, contractors or similar positions for the U.S. National Administrative Office or the Secretariat for the North American Agreement on Labor Cooperation (NAALC), the supplemental agreement on labor issues to the North American Free Trade Agreement (NAFTA).

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

Application and nomination letters; resumes, biographical sketches, curriculum vitae, and other related documents.

##### **AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

North American Agreement on Labor Cooperation Articles 23, 28, and 30; 58 FR 69410; and 5 U.S.C. 301.

##### **PURPOSE(S):**

These records are established when individuals nominate themselves or are recommended for appointments as arbitrators, experts, consultants, contractors, advisory committee members or similar positions with the U.S. National Administrative Office or the Secretariat for the NAALC. The records are used by the Deputy Under Secretary of Labor for International Affairs to make selections or recommendations as appropriate to the

Secretary of Labor or Executive Director of the Secretariat for appointment.

##### **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.

##### **DISCLOSURES 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 Nominee's name and by selected skills categories.

##### **SAFEGUARDS:**

Locked storage equipment and personnel screening.

##### **RETENTION AND DISPOSAL:**

a. Advisory committee members, arbitrators, contractors, consultants, and experts: Permanent transfer to National Archives three (3) years after expiration of term of service.

b. Nominees not selected: destroy files when five (5) years old.

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

Secretary, U.S. National Administrative Office, U.S. Department of Labor, Bureau of International Labor Affairs, Washington, DC 20210.

##### **NOTIFICATION PROCEDURES:**

Individuals wishing to gain access to records should contact the system manager at the **SYSTEM LOCATION** above.

##### **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;

b. Approximate date for investigation;

c. Individuals requesting access must also comply with the Privacy Act regulations regarding verification of the identity to records at 29 CFR 71.2.

##### **CONTESTING RECORDS PROCEDURES:**

A petition for amendments shall be addressed to the System Manager and must meet the requirements of 29 CFR 71.9.

##### **RECORD SOURCE CATEGORIES:**

Nominations submitted by individuals within the system, other



individuals and organizations and by government agencies.

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

Not applicable.

**DOL/MSHA-1**

**SYSTEM NAME:**

Coal and Metal and Nonmetal Mine Accident, Injury, and Illness.

**SECURITY CLASSIFICATION:**

Unclassified.

**SYSTEM LOCATION:**

Department of Labor, Mine Safety and Health Administration, Program Evaluation and Information Resources, PO Box 25367, Denver CO 80225-0367.

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

Individual workers in the coal and metal and nonmetal mining industries.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

These records contain accident, injury, and occupational illness data which includes the mine name and identification number; date, time, and place of occurrence; type and description of accident; and name and social security number of injured miner. For 1978 and subsequent years, only the last four digits of the social security number are in the records.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

30 U.S.C. 813.

**PURPOSE(S):**

To maintain data to provide MSHA timely information for making decisions on improving safety and health programs, improving education and training efforts, and establishing priorities in technical assistance activities in the mining industry. The primary uses of the records are (a) to determine probable cause of accidents, injuries, and illnesses and (b) to provide a statistical analytic data base for allocation of MSHA and other resources to reduce occupational injuries and illnesses.

**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, disclosures may be made to a federal agency which has requested information relevant or necessary to research for mine safety and health under appropriate security procedures.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

None.

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

**STORAGE:**

Manual—file folders; Computer—magnetic media.

**RETRIEVABILITY:**

Indexed and filed by mine identification number and date of accident and injury occurrence or illness diagnosis. Accessed by mine identification, date of accident and the last four digits of the social security number of individual(s) involved.

**SAFEGUARDS:**

Computer safeguards and procedures developed by MSHA under GSA Circular E-34. Appropriate reports are marked with the Privacy Act warning. Only authorized personnel have access to files.

**RETENTION AND DISPOSAL:**

MSHA Forms 7000-1, Mine Accident, Injury, and Illness Report, are retained for 6 years after year of record and then destroyed. Microfiche copies of these documents are retained by the Office of Injury and Employment Information permanently. Records in magnetic media are transferred to NARA as permanent records immediately after each annual close-out.

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

Chief, Office of Injury and Employment Information, Program Evaluation and Information Resources, PO Box 25367, Denver, CO 80225-0367.

**NOTIFICATION PROCEDURE:**

Inquiries regarding the existence of records should be addressed to the System Manager. A written, signed request stating that the requester seeks information concerning records pertaining to him/her is required.

**RECORD ACCESS PROCEDURES:**

To see your records, write the System Manager and describe specifically as possible the records sought and furnish the following information:

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

**CONTESTING RECORD PROCEDURES:**

Individuals requesting amendment to the record should contact the System Manager and furnish the following information:

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

**RECORD SOURCE CATEGORIES:**

Mine operators including independent contractors.

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

None.

**DOL/MSHA-3**

**SYSTEM NAME:**

Metal and Nonmetal Mine Safety and Health Management Information System.

**SECURITY CLASSIFICATION:**

Unclassified.

**SYSTEM LOCATION:**

(1) Office of the Administrator for Metal and Nonmetal Mine Safety and Health, U.S. Department of Labor, 4015 Wilson Blvd., Arlington, Virginia 22203.

(2) Substantially all Metal and Nonmetal Mine Safety and Health Offices listed in the appendix. (See the Appendix for addresses.)

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

Metal and Nonmetal enforcement personnel and key officials who conduct inspection/investigation activities at surface and underground mines.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Contains records on metal and nonmetal mine safety and health activities which include mine and mill locations, metal and nonmetal mine inspection personnel time and activity, inspections, citations and orders against operators, sampling data on personal exposure of non-identified miners and MSHA personnel to radiation, dust, noise and other contaminants, and comprehensive health surveys on individual operations.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

29 U.S.C. 557a, 668; 30 U.S.C. 811, 813, 814.

**PURPOSE(S):**

Records are maintained in order to (a) determine workload, work scheduling and performance of mine inspection personnel; (b) maintain records on violations of health and safety standards and regulations; (c) determine contaminant exposure level; and (d) maintain employment data at metal and nonmetal mines, e.g. number or workers, etc.

**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, disclosure may be made (a) to the National Institute of Occupational Safety and Health and the Environmental Protection Agency to determine

contaminant exposure levels; (b) to state agencies to maintain records on violations of health and safety standards and regulations, as well as to determine contaminant exposure levels; (c) to unions and company officials to determine contaminant exposure levels; (d) to individuals requesting information on mines or mine exposure.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

None.

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

**STORAGE:**

Computer-Information from source documents to remote disk storage to host disk storage, with final storage on magnetic tape. Manual—8 × 10<sup>1/2</sup> inch reports and forms in standard file cabinets.

**RETRIEVABILITY:**

Computerized and manual records are indexed by mine identification number for operator and by Authorized Representative and Right of Entry number for MSHA personnel.

**SAFEGUARDS:**

Computer safeguards and procedures developed by MSHA under GSA Circular E-34. Manual-Locked file cabinets. During working hours records are accessible only to authorized personnel.

**RETENTION AND DISPOSAL:**

Computer databases are updated from source documents daily, weekly and monthly. The active computer database contains data for the most recent 5 years. This data is transferred to the historical database when it is 5 years old. The historical database is retained indefinitely.

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

Administrative Officer, Metal and Nonmetal Mine Safety and Health, 4015 Wilson Blvd., Arlington, Virginia 22203.

**NOTIFICATION PROCEDURE:**

Inquiries regarding the existence of records should be addressed to the System Manager. A written, signed request stating that the requester seeks information concerning records pertaining to him/her is required.

**RECORD ACCESS PROCEDURES:**

To see your records, write the System Manager and describe as specifically as possible the records sought and furnish the following information:

- a. Full name
- b. Date of birth

c. Signature

**CONTESTING RECORD PROCEDURES:**

Individuals requesting amendment to the record should contact the System Manager and furnish the following information:

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

**RECORD SOURCE CATEGORIES:**

MSHA inspection personnel and individual mine operators.

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

None.

**DOL/MSHA-10**

**SYSTEM NAME:**

Discrimination Investigations.

**SECURITY CLASSIFICATION:**

Unclassified.

**SYSTEM LOCATION:**

Office of the Administrator for Coal Mine Safety and Health and Office of the Administrator for Metal and Nonmetal Mine Safety and Health, Mine Safety and Health Administration, U.S. Department of Labor, 4015 Wilson Boulevard, Arlington, Virginia 22203 and all Coal and Metal and Nonmetal Mine Safety and Health district offices (see the Appendix for addresses).

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

Individuals alleged to have been discriminated against in violation of the Federal Mine Safety and Health Act of 1977 and the Coal Mine Health and Safety Act of 1969.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Name, address, telephone number, social security number, occupation, place of employment, other identifying data, and allegation information concerning complainants, mine operators, witnesses, and third party sources. This material includes interviews and other data gathered by the investigator.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

30 U.S.C. 815(c).

**PURPOSE(S):**

Records are maintained to determine validity and gravity of allegations and the amount of civil penalty assessment.

**ROUTINE USE 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, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**

**STORAGE:**

In manila file folders and computerized tracking system.

**RETRIEVABILITY:**

Records are retrieved by case number; complainant's/respondent's name; company name; mine name, identification number (I.D.), or address.

**SAFEGUARDS:**

Maintained in locked file cabinets and secured computer system.

**RETENTION AND DISPOSAL:**

Retained for 3 years, then transferred to a Federal Records Center where they are retained for 15 years, then destroyed except for cases involving health issues. For those cases involving health issues retain for 3 years, then transferred to a Federal Records Center where they are retained for 27 years, then destroyed.

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

Administrator for Coal Mine Safety Health, Ballston Towers No. 3, 4015 Wilson Boulevard, Arlington, Virginia 22203; Administrator for Metal and Nonmetal Mine Safety and Health, same address as above.

**NOTIFICATION PROCEDURE:**

Inquiries regarding the existence of records should be addressed to the appropriate System Manager. A written, signed request stating that the requester seeks information concerning records pertaining to him/her is required.

**RECORDS ACCESS PROCEDURES:**

To see your records, write the appropriate System Manager and describe as specifically as possible the records being sought and furnish the following information:

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

**CONTESTING RECORD PROCEDURES:**

Individuals requesting amendment to the record should contact the appropriate System Manager and furnish the following information:

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

**RECORD SOURCE CATEGORIES:**

Individuals alleging discrimination, mine operators, witnesses, and third party sources.