

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/MSHA-13**SYSTEM NAME:**

Coal Mine Respirable Dust Program.

SECURITY CLASSIFICATION:

Unclassified.

SYSTEM LOCATION:

Coal Mine Safety and Health, MSHA, U.S. Department of Labor, 4015 Wilson Blvd., Arlington, Virginia 22203, and substantially all Coal Mine Safety and Health Offices listed in the Appendix.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Individual coal miners for whom personal dust samples have been submitted for analysis prior to 1981, miners with evidence of the development of coal workers' pneumoconiosis (black lung disease) as defined under 30 CFR part 90 after 1981.

CATEGORIES OF RECORDS IN THE SYSTEM:

These records contain data such as the mine identification, including mine name and company name, mine entity number (specific location in the mine where samples were taken), occupation and social security number of individual sampled (pre 1981 date) and of 30 CFR part 90 miner (after 1980), date sampled, concentration of respirable dust measured in the miner's work environment, tons of material produced during sampling shift, and sampling time, and social security number of the certified person taking the sample.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

30 U.S.C. 813(a), 842.

PURPOSE(S):

To maintain records to determine compliance with the mandatory respirable coal mine dust standards.

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 relevant records may be made (1) to the U.S. Department of Health and Human Services in accordance with provisions of Pub. L. 91-173 as amended by Pub. L. 95-164; (2) to mine operators to furnish information relevant to the respirable dust program as it applies to their operations as required by the law; (3) to appropriate Federal, State, local or foreign agency for research purposes, for enforcing or implementing a statute, rule, regulation, order or license; (4) to labor, industry and academic organizations to monitor dust concentration and compliance trends.

DISCLOSURE TO CONSUMER REPORTING AGENCIES:

None.

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

Historical data on magnetic tape and current data on computer disk.

RETRIEVABILITY:

Indexed by mine identification number, and social security number for individual coal miners sampled prior to 1981 and for all 30 CFR part 90 miners after 1980. This information is available on computer printouts.

SAFEGUARDS:

Access limited to authorized personnel in regard to computerized data. Sampling data and other manual records for part 90 miners are stored in locked steel cabinets with access being granted only to duly authorized personnel. Sample results for other than 30 CFR part 90 miners are kept in regular file cabinets. No other manual records are identifiable.

RETENTION AND DISPOSAL:

Maintain magnetic tapes indefinitely. Transfer to FARC operator/inspector dust data cards when 3 years old and destroy when 10 years old.

SYSTEM MANAGER(S) AND ADDRESS:

Chief, Division of Health, Coal Mine Safety and Health, MSHA, 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.

RECORDS ACCESS PROCEDURES:

To see your records, for samples collected prior to 1981 and for 30 CFR part 90 miners after 1980 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. Social Security number
- d. Signature

CONTESTING RECORD 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. Social Security number
- d. Signature

RECORD SOURCE CATEGORIES:

Mine operators.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

DOL/MSHA-15**SYSTEM NAME:**

Health and Safety Training and Examination Records.

SECURITY CLASSIFICATION:

Unclassified.

SYSTEM LOCATION:

Qualification and Certification Unit, Educational Policy and Development, Mine Safety and Health Administration, PO Box 25367 (DFC), Denver, Colorado 80225.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Miners, mining industry personnel, State and Federal employees who have taken MSHA approved training courses to attain skills to become qualified and certified to complete mining tasks.

CATEGORIES OF RECORDS IN THE SYSTEM:

These records contain mine ID number, training course codes, instructor's name, date of training, name and social security number of persons who have taken training and examinations to become qualified and/or certified.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

30 U.S.C. 825, 877(i), 952.

PURPOSE(S):

The primary uses of the records are to (a) maintain records of training and examination of individual miners, mining industry personnel, and State and Federal employees who have taken MSHA approved training courses; (b) issue qualification and/or certification cards to individuals who become qualified or certified under the law, as appropriate; (c) issue qualification cards to instructors authorized to teach MSHA approved training courses; (d) provide information to monitor and expand safety training programs; (e) verify that individuals have completed required training; (f) report training data in various formats for a variety of uses, particularly, reporting to Congress, publication.

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

Disclosures may be made (a) to mine operators requesting information to verify training required by law; (b) to labor organizations requesting information on training status of its members; (c) to mine operators' associations which require training for policy and programming utilization; (d) to appropriate Federal, State, tribal governments, local or foreign agencies responsible for investigating or prosecuting the violation of, or for enforcing or implementing, a statute, rule, regulation, order or license.

DISCLOSURE TO CONSUMER REPORTING AGENCIES:

None.

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

Training documents are microfilmed; then, they are entered into computer files.

RETRIEVABILITY:

Computerized records are indexed and accessed by mine identification and individual social security numbers. Microfilm records are retrieved on basis of cycle number, social security number, mine identification numbers, date and course examination. (Note: Records have the individual names but do not contain addresses. The social security number is used by MSHA for retrievals because the file contains many individuals with the same names, and there is no way to know which records belong to which individual by using name only.)

SAFEGUARDS:

Computer safeguards and procedures developed by MSHA under GSA Circular E-34. Reports are marked with the appropriate Privacy Act warning. During working hours only authorized personnel have access to files.

RETENTION AND DISPOSAL:

Training documents are destroyed when 3 years old. Microfilm is destroyed when 50 years old.

Computer files are updated as changes occur and used to verify information.

SYSTEM MANAGER(S) AND ADDRESS:

Chief, Qualification and Certification Unit, Educational Policy and Development, PO Box 25367 (DFC), Denver, Colorado 80225.

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. Social Security number
- c. Signature
- d. Address

CONTESTING RECORD PROCEDURES:

Individuals requesting amendment to the record should contact the System Manager and furnish the following information:

- a. Full name
- b. Social Security number
- c. Signature
- d. Type of Record to be amended
- e. Address

RECORD SOURCE CATEGORIES:

Training records are received from instructors, mining industry, and MSHA training personnel.

SYSTEM EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

DOL/MSHA-18**SYSTEM NAME:**

Coal Mine Safety and Health Management Information System.

SECURITY CLASSIFICATION:

Unclassified.

SYSTEM LOCATION:

(1) Office of the Administrator for Coal Mine Safety and Health, U.S.

Department of Labor, 4015 Wilson Boulevard, Arlington, Virginia 22203; (2) Coal Mine Safety and Health district and field offices.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Coal Mine Safety and Health enforcement personnel and key officials at surface and underground installations.

CATEGORIES OF RECORDS IN THE SYSTEM:

Information on mine status and characteristics; key mine officials; inspections; violations; sampling information; Coal Mine Safety and Health enforcement personnel; and time utilization for Coal Mine Safety and Health enforcement personnel.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

29 U.S.C. 557a, 668; 30 U.S.C. 811, 813, 814.

PURPOSE(S):

To maintain information on (a) status of mining operations; (b) identification of key mine officials; (c) inspections of mines; (d) citations and orders issued for violation of the Mine Act and 30 CFR; (e) information on samples taken by inspectors; and (f) time utilization for Coal Mine Safety and Health enforcement personnel. Disclosure outside the Department of Labor may be made to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violation of, or for enforcing or implementing, a statute, rule, regulation, order or license.

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

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

DISCLOSURE TO CONSUMER REPORTING AGENCIES:

None.

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

Manual files: Magnetic tape and disk units.

RETENTION AND DISPOSAL:

Inspection reports and related documents are destroyed after 10 years. Other source documents are destroyed when no longer needed. Active database is retained for 2 complete fiscal years; then moved to the historical database or magnetic tape. Historical database and magnetic tapes are retained indefinitely.

RETRIEVABILITY:

By mine identification number for key mine officials; by Authorized Representative number, organization number, inspection event number, and violation number for enforcement personnel.

SAFEGUARDS:

Access limited to authorized personnel in regard to computerized data. Manual records on Coal Mine Safety and Health enforcement personnel are kept in locked file cabinets. Manual records on mine status and characteristics, key mine officials, inspections, violations, and time utilization for Coal Mine Safety and Health enforcement personnel are kept in regular file cabinets.

SYSTEM MANAGER(S) AND ADDRESS:

Administrator for Coal Mine Safety and Health, MSHA, Department of Labor, 4015 Wilson Boulevard, 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 specifically as possible the records sought and furnish the following information:

- Full name
- Date of birth
- Social Security number
- Signature

CONTESTING RECORD PROCEDURES:

Individuals requesting amendment to the record should contact the System Manager and furnish the following information:

- Full name
- Date of birth
- Social Security number
- Signature

RECORDS SOURCE CATEGORIES:

Coal Mine Safety and Health personnel submit inspection, time utilization, violation, sampling, and other enforcement information in accordance with prescribed procedures.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

DOL/MSHA-19**SYSTEM NAME:**

Employee Conduct Investigations.

SECURITY CLASSIFICATION:

Unclassified.

SYSTEM LOCATION:

Mine Safety and Health Administration, Administration and Management, U.S. Department of Labor, 4015 Wilson Blvd., Arlington, Virginia 22203.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Any MSHA employee against whom any allegation of serious misconduct, illegal acts, conflict of interest, etc. has been made.

CATEGORIES OF RECORDS IN THE SYSTEM:

Name, organization, allegation and other pertinent information relating to the individual involved, as well as the investigative report associated with the case, including interviews and other data.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

5 U.S.C. 301, 7301, Executive Order 11222.

PURPOSE(S):

The primary use of the records is to determine facts and circumstances relative to allegations.

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

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

DISCLOSURE TO CONSUMER REPORTING AGENCIES:

None.

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

Manual records are maintained in manila folders which are stored in locked file cabinets. Computer records are maintained in a password controlled, computerized tracking system.

RETRIEVABILITY:

By name or by file number.

SAFEGUARDS:

Maintained in locked file cabinets and password controlled computer system.

RETENTION AND DISPOSAL:

Records are retained for four years following the date either: (a) They are referred to the OIG; (b) they are transferred to OPM/GOVT-3 Records of Adverse Actions and Actions Based on Unacceptable Performance; or (c) it is determined that the allegation was

without sufficient merit to warrant further action, after which they are destroyed by burning.

SYSTEM MANAGER(S) AND ADDRESS:

Director of Administration and Management, MSHA, 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 records, an individual must provide the request in writing to the System Manager. It must be as specific as possible and the following information must be furnished:

- Full name.
- Date of birth.
- Signature.

CONTESTING RECORD PROCEDURES:

Individuals requesting amendment to the record should contact the System Manager and furnish the following information:

- Full name.
- Date of birth.
- Signature.

RECORD SOURCE CATEGORIES:

Individual employees and officials of MSHA and any others alleging misconduct.

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/MSHA-20**SYSTEM NAME:**

Civil/Criminal 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 who allegedly, knowingly or willfully, committed violations of the Federal Mine Safety and Health Act of 1977 (Mine Act) and the Coal Mine Health and Safety Act of 1969 (Coal Act); individuals who have been criminally prosecuted for such violations; and individuals who have been civilly assessed a monetary penalty for violations of the 1977 Mine Act or 1969 Coal Act.

CATEGORIES OF RECORDS IN THE SYSTEM:

Name, address, telephone number, social security number, occupation, place of employment, and other identifying data along with allegation information of miners, mine operators, and other individuals. Interviews and other data gathered by the investigator.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

30 U.S.C. 820.

PURPOSE(S):

Records are maintained to determine validity and gravity of allegations and the amount of civil penalty assessment or referral for possible criminal prosecution.

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 of 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 filed by case number; agent'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 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 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 System Manager and furnish the following information:

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

RECORD SOURCE CATEGORIES:

Miners and mine operators, MSHA investigators and other 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.

In accordance with 5 U.S.C. 552a(j)(2), investigatory material in this system of records compiled for criminal law enforcement purposes is exempt from subsections (c)(3), (c)(4), (d)(1), (d)(2), (d)(3), (d)(4), (e)(1), (e)(2), (e)(3), (e)(4)(G), (e)(4)(H), (e)(4)(I), (e)(5), (e)(8), (f), of 5 U.S.C. 552a.

DOL/MSHA-21**SYSTEM NAME:**

Assessments and Civil Penalty Debt Collection Activity and Reporting System

SECURITY CLASSIFICATION:

Unclassified.

SYSTEM LOCATION:

Office of Assessments, Civil Penalty Compliance Office, Mine Safety and Health Administration (MSHA), U.S. Department of Labor, 4015 Wilson Boulevard, Arlington, Virginia 22203.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Individuals who were cited for committing violations of the Federal Mine Safety and Health Act of 1977 (Mine Act) and mandatory safety and health standards which resulted in their indebtedness to the United States in the form of a civil penalty.

CATEGORIES OF RECORDS IN THE SYSTEM:

Consumer credit reports, Case files, payment installment plans, bankruptcy case files, Employee Identification Numbers file (EIN), Treasury cross-servicing files, Treasury offset files, financial adjustment files, Assessments Management Information System.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

31 U.S.C. 3701, 3711-12, 3716-19, 3720A-E, 7701. (Debt Collection Improvement Act of 1996); 30 U.S.C. 815 and 820.

PURPOSE(S):

The system provides information on individuals who are indebted to the Department of Labor, Mine Safety and Health Administration, for the purpose of assessing penalties, determining the collection of debts, and taking appropriate actions to collect or otherwise resolve the debts.

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

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

DISCLOSURE TO CONSUMER REPORTING AGENCIES:

None.

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

Manual files, computer files on Local Area Network (LAN) and PCS.

RETRIEVABILITY:

By mine identification number; Employee Identification Number, Name, MSHA case number, or Social Security Number (SSN).

SAFEGUARDS:

Access to computerized data is limited to authorized personnel through use of encrypted passwords. Manual records in Office of Assessments are kept in locked file cabinets or restricted areas. During working hours only authorized personnel have access to files.

RETENTION AND DISPOSAL:

Source documents are retained until case is closed and retired to the appropriate Federal Records Center for 10 years and then destroyed.

SYSTEM MANAGER(S) AND ADDRESS:

Director of Assessment, Department of Labor, Mine Safety and Health Administration, Office of Assessments, 4015 Wilson Boulevard, 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 records, write the System Manager and describe specifically as possible the records sought and furnish the following information:

- a. Full name
- b. Signature

CONTESTING RECORD PROCEDURES:

Individuals requesting amendment to the record should contact the System Manager and furnish the following information:

- a. Full name
- b. Signature

c. The specific problem

RECORD SOURCE CATEGORIES:

Information is obtained from Office of Assessments, Civil Penalty Compliance Office, Credit Reporting Bureaus, Dun and Bradstreet Reporting, Consumer credit reports, Case files, payment installment plans, bankruptcy case files, Employee Identification Numbers file (EIS), Treasury cross-servicing files, Treasury offset files, financial adjustment files, and the Assessments Management Information System.

SYSTEM EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

DOL/MSHA-22**SYSTEM NAME:**

Education Policy and Development; National Mine Health and Safety Academy Permanent Record Card.

SECURITY CLASSIFICATION:

Unclassified.

SYSTEM LOCATION:

Office of the Superintendent, National Mine Health and Safety Academy, Mine Safety and Health Administration, U.S. Department of Labor, 1301 Airport Road, Beaver, West Virginia 25813.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Mine Safety and Health Administration personnel and other students receiving training at the Mine Health and Safety Academy.

CATEGORIES OF RECORDS IN THE SYSTEM:

Student grade transcripts. (Records reflecting courses and grades received)

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

29 U.S.C. 557(a), 30 U.S.C. 952.

PURPOSE(S):

To maintain records on Mine Safety and Health inspectors to assure that proper training is received as required under the Federal mine Safety and Health Act of 1977, Public Law 91-173, as amended by Public Law 95-164, Sec. 502 c.(1) (2) (3). Records are used by students and supervisors to track training and grades.

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

Disclosures may be made to (1) appropriate Federal, State, local agencies when students transfer from one agency to another; (2) colleges that accept training received at the Academy for transferable credit hours; (3) supervisors of students who request

transcripts on employees to assure that proper training has been received or completed.

DISCLOSURE TO CONSUMER REPORTING AGENCIES:

None.

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

Manual files.

RETRIEVABILITY:

By Social Security Number or name of the student.

SAFEGUARDS:

Manual records on Academy training personnel and students are kept in locked file cabinets.

RETENTION AND DISPOSAL:

Instructor grade sheets are destroyed after 3 years. Academy Permanent Records Cards (Transcripts) are retained for 50 years and then destroyed.

SYSTEM MANAGER(S) AND ADDRESS:

Director for Educational Policy and Development, Mine Safety and Health, Department of Labor, 4015 Wilson Boulevard, 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 records, write the System Manager and describe specifically as possible the records sought and furnish the following information:

- a. Full name
- b. Address
- 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. Address
- c. Signature
- d. The specific problem

RECORD SOURCE CATEGORIES:

Educational Policy and Development, National Mine Health and Safety instructors and students.

SYSTEM EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

DOL/MSHA-23**SYSTEM NAME:**

Education Policy and Development;
Education Field Services (EFS) Activity
Reporting System.

SECURITY CLASSIFICATION:

Unclassified.

SYSTEM LOCATION:

(1) Office of the Director for
Educational Policy and Development,
Mine Safety and Health, U.S.

Department of Labor, 4015 Wilson
Boulevard, Arlington, Virginia 22203;

(2) Educational Field Services for
Educational Policy and Development,
Mine Safety and Health, U.S.

Department of Labor, Airport Road,
Beaver, West Virginia;

(3) Educational Field Services for
Educational Policy and Development,
Mine Safety and Health, U.S.

Department of Labor, P.O. Box 25367,
Denver Federal Center, Denver,
Colorado 80225.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Educational Policy and Development,
Educational Field Services training
personnel.

CATEGORIES OF RECORDS IN THE SYSTEM:

Information on mine ID's visited;
number of personnel contacted;
activities conducted; time spent on
activities; name; AR/RE Authorized
Representative number (AR) or Right of
entry number (RE) number; organization
code; and information on time
utilization for Training Specialists.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

29 U.S.C. 557(a)

PURPOSE(S):

(1) To determine the workload and
work scheduling; (2) To assist in
budgeting and staffing of education and
training specialists; (3) To assess
training needs of MSHA personnel and
industry personnel; and (4) To assist
management in the monitoring of
training activities conducted by EFS
Training Specialists.

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

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

DISCLOSURE TO CONSUMER REPORTING AGENCIES:

None.

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

Manual files, and computer files.

RETRIEVABILITY:

By mine identification number;
Authorized Representative/Right of
Entry Representative number;
organization code.

SAFEGUARDS:

Access limited to authorized
personnel in regard to computerized
data. Manual records on Education
Policy and Development training
personnel are kept in locked file
cabinets.

Computer safeguards and procedures
developed by contractors under GSA
Circular E-34. Reports are marked with
a Privacy Act warning. During working
hours only authorized personnel have
access to files.

RETENTION AND DISPOSAL:

Paper records are destroyed when 3
years old. Computer records are
maintained permanently for historical
purposes.

SYSTEM MANAGER(S) AND ADDRESS:

Director for Educational Policy and
Development, Mine Safety and Health,
Department of Labor, 4015 Wilson
Boulevard, 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 records, write the System
Manager and describe as specifically as
possible the records sought and furnish
the following information:

- a. Full name
- b. AR/RE number
- c. Address
- d. Signature

CONTESTING RECORD PROCEDURES:

Individuals requesting amendment to
the record should contact the System
Manager and furnish the following
information:

- a. Full name
- b. AR/RE number
- c. Signature
- d. The specific problem.

RECORD SOURCE CATEGORIES:

Educational Policy and Development,
Educational Field Services personnel.

SYSTEM EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

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

Radon Daughter Exposure.

SECURITY CLASSIFICATION:

Unclassified.

SYSTEM LOCATION:

Division of Health, 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.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

All individuals for whom mine
operators were required to calculate and
record radon daughter exposure in the
previous calendar year.

CATEGORIES OF RECORDS IN THE SYSTEM:

Mine I.D. number, mine name,
section, township, range, county, and
state of mine location, operator, and
time period, individual's name, social
security number, current year's radon
daughter exposure and cumulative
radon daughter exposure in working
level months (WLM).

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

30 U.S.C. 811, 961

PURPOSE(S):

To document exposure of miners to
radon daughters, a form of radiation
which has been proven to cause cancer
in humans and is well known as a
severe hazard for metal and nonmetal
miners. The exposure limit is an *annual*
limit which requires careful
documentation to ensure that no miner
is overexposed.

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
of this document.

DISCLOSURE TO CONSUMER REPORTING AGENCIES:

None.

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

Manual files.

RETRIEVABILITY:

By year, mine name, mine operator,
and individual name.

SAFEGUARDS:

Manual records are kept in locked file cabinets. During working hours records are accessible only to authorized personnel.

RETENTION AND DISPOSAL:

Retained until individual would have turned 75 years old or until 10 years after known death of individual.

SYSTEM MANAGER(S) AND ADDRESS:

Chief of Health, 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 System Manager. A written, signed request stating that the requester seeks information concerning records pertaining to him/her is required or a letter signed by the individual or his estate authorizing the requester to obtain the information. (As per 30 CFR 57.5040 and ANSI N13.8-1973 "Radiation Protection in Uranium Mines.")

RECORDS 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. Address
- c. Signature

CONTESTING RECORD 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. Address
- c. Signature

RECORD SOURCE CATEGORIES:

Mine operators.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

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

Discrimination Complaint File.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

National and Regional Offices of the Occupational Safety and Health Administration; see the Appendix to this document.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Individuals who have filed complaints alleging discrimination

against them by their employers for exercising safety and health rights. Complainants may file pursuant to section 11(c) of the Occupational Safety and Health Act (29 U.S.C. 651-678), section 405 of the Surface Transportation Assistance Act (49 U.S.C. 31105 et seq.), section 211 of the Asbestos Hazard Emergency Response Act (15 U.S.C. 2601) or section of the International Safe Container Act (46 U.S.C. 1501 et seq.). Complaints are also filed pursuant to those additional statutes listed below under the category entitled Authority for Maintenance of the System. Employees who are covered by the statutes listed below may file complaints alleging discrimination on the basis of protected activity relating to environmental laws.

CATEGORIES OF RECORDS IN THE SYSTEM:

Name, address, telephone number, social security number, occupation, place of employment, and other identifying data along with the type of allegation. This material includes interviews and other data gathered by the investigator.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Section 11(c) of the Occupational Safety and Health Act (29 U.S.C. 651-678); sec. 405 of the Surface Transportation Assistance Act (49 U.S.C. 31105); sec. 211 of the Asbestos Hazard Emergency Response Act (15 U.S.C. 2601 et seq.); sec. 7 of the International Safe Container Act (46 U.S.C. 1501 et seq.); the Safe Drinking Water Act (42 U.S.C. 300j-9(i)); the Water Pollution Control Act (33 U.S.C. 1367); the Toxic Substances Control Act (15 U.S.C. 2622); the Wendell H. Ford Aviation Investment and Reform Act for the 21st Century, 29 U.S.C. 42121; the Solid Waste Disposal Act (42 U.S.C. 6971); the Clean Air Act (42 U.S.C. 7622); the Comprehensive Environmental Response, Compensation and Liability Act of 1980 (42 U.S.C. 9610); and the Energy Reorganization Act of 1974 (42 U.S.C. 5851).

PURPOSE(S):

The records are used to support investigative materials discovered or created during investigation of violations of the health and safety statutes and the environmental statutes listed in the category in this notice for Authority. The records also are used as the basis of statistical reports on such activity by regional administrators, investigators, and their supervisors in the Occupational Safety and Health Administration.

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

A. With respect to the first four statutes listed under the Authority category, disclosure of the gravamen of a complaint, as well as the name of the complainant, may be made to the employer, so that the complaint can proceed to a resolution.

B. With respect to the eight remaining statutes listed under the Authority category, disclosure of a copy of the actual written complaint by the complainant, may be made to the employer so that the complaint can proceed to a resolution.

C. With respect to complaints under the Energy Reorganization Act (ERA), disclosure of a copy of the actual written complaint by the complainant, may be made to the United States Nuclear Regulatory Agency, as mandated by the ERA.

D. With respect to complaints under the environmental statutes, disclosure of a copy of the actual written complaint by the complainant, may be made to the United States Environmental Protection Agency (EPA), as mandated by this Department's regulation, 29 CFR Part 24.

E. With respect to complaints under the Wendell H. Ford Aviation Investment and Reform Act for the 21st Century, disclosure of a copy of the actual written complaint by the complainant, may be made to the Federal Aviation Administration, as is mandated by the Act.

F. All of the above five disclosures are in addition to those universal routine uses listed in the General Prefatory Statement to this document.

DISCLOSURE TO CONSUMER REPORTING AGENCIES:

None.

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

Manual files.

RETRIEVABILITY:

By complainant's name or case identification number.

SAFEGUARDS:

Locked storage equipment and personnel screening.

RETENTION AND DISPOSAL:

Destroy five years after case is closed.

SYSTEM MANAGER(S) AND ADDRESS:

Director of the Office of 11(c) Programs in the National Office and Regional Administrators at addresses in the Appendix.

NOTIFICATION PROCEDURE:

Individuals wishing to inquire whether this system of records contains information about them should contact the system manager at the appropriate system location.

RECORD ACCESS PROCEDURE:

Individuals wishing to gain access to non-exempt records should contact the system manager at the appropriate system location.

CONTESTING RECORD PROCEDURE:

Individuals wishing to request amendment of any non-exempt records should contact the system manager at the system location listed above.

RECORD SOURCE CATEGORIES:

Individual complainants who filed allegation(s) of discrimination by employer(s) against employee(s) who have exercised job safety and health responsibilities; information compiled in connection with investigations. Also employers, employees and witnesses.

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/OSHA-6**SYSTEM NAME:**

Program Activity File.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Office of Management Data Systems, Occupational Safety and Health Administration, Room N-3661, U.S. Department of Labor, 200 Constitution Avenue, NW., Washington, DC 20210.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Compliance Safety and Health Officers of the Occupational Safety and Health Administration.

CATEGORIES OF RECORDS IN THE SYSTEM:

Time sheets/logs documenting compliance safety and health officers' activities covering inspections, monitoring and other compliance-related data.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Occupational Safety and Health Act of 1970 (29 U.S.C. 651-678).

PURPOSE(S):

These records are maintained to document the amount of time spent by OSHA compliance safety and health officers on their various compliance-related activities. The data compiled from the time sheets are used to analyze program activity by producing such activity measures as time spent on each of various types of compliance-related activities; the data are used by key agency officials to assist in measuring the effectiveness of OSHA's enforcement activities.

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:**

Magnetic media.

RETRIEVABILITY:

By compliance safety and health officer identifying number or by inspection/investigation number.

SAFEGUARDS:

Computer file accessible only through password system available only to authorized personnel.

RETENTION AND DISPOSAL:

Data files maintained indefinitely.

SYSTEM MANAGER(S) AND ADDRESS:

Director, Office of Management Data Systems, Occupational Safety and Health Administration, U.S. Department of Labor, 200 Constitution Avenue, NW., Washington, DC 20210.

NOTIFICATION PROCEDURE:

Individuals wishing to inquire whether this system of records contains

information about them should contact the system manager at the system location listed above.

RECORD ACCESS PROCEDURE:

Individuals wishing to gain access to records should contact the system manager at the system location listed above.

CONTESTING RECORD PROCEDURE:

Individuals wishing to request amendment of any record should contact the system manager at the system location listed above.

RECORD SOURCE CATEGORIES:

Compliance safety and health officers'/investigators' time logs.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

Not applicable.

DOL/OSHA-9**SYSTEM NAME:**

OSHA Compliance Safety and Health Officer Training Record.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Regional offices of the Occupational Safety and Health Administration; see the Appendix for addresses.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Compliance Safety and Health Officers of the Occupational Safety and Health Administration.

CATEGORIES OF RECORDS IN THE SYSTEM:

Records reflecting training courses and programs completed by Compliance Safety and Health Officers of the Occupational Safety and Health Administration.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Occupational Safety and Health Act of 1970 (29 U.S.C. 651-678).

PURPOSE(S):

These records are used to determine which Compliance Safety and Health Officers have completed required training and which need added training. They are used to analyze individual training needs and to assess overall needs for training in upcoming periods; used by Regional Administrators for planning and budgetary purposes.

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

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

DISCLOSURE TO CONSUMER REPORTING**AGENCIES:**

None.

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

Manual files.

RETRIEVABILITY:

By name of individual Compliance Safety and Health Officer.

SAFEGUARDS:

Locked file cabinets.

RETENTION AND DISPOSAL:

Upon termination of employment of a Compliance Safety and Health Officer, or upon transfer to another job.

SYSTEM MANAGER(S) AND ADDRESS:

Regional Administrator at address in the Appendix where system is located.

NOTIFICATION PROCEDURE:

Individuals wishing to inquire whether this system of records contains information about them should contact the system manager at the appropriate system location listed above.

RECORD ACCESS PROCEDURE:

Individuals wishing to gain access to records should contact the system manager at the system location listed above.

CONTESTING RECORD PROCEDURE:

Individuals wishing to request amendment of any records should contact the system manager at the system location listed above.

RECORD SOURCE CATEGORIES:

Official personnel folders; certificates of training; individuals concerned.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

Not applicable.

DOL/OSHA-10**SYSTEM NAME:**

OSHA Outreach Training Program.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Office of Training and Education, Occupational Safety and Health Administration, U.S. Department of Labor, 1555 Times Drive, Des Plaines, Illinois 60018.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Authorized OSHA Outreach Training Program trainers.

CATEGORIES OF RECORDS IN THE SYSTEM:

Each trainer's file contains the following information: Trainer's name, title, ID number, company name, address, telephone number, fax number, and the most recent date the individual completed an OSHA construction and/or general industry Outreach course. Files also contain the end date of outreach classes taught by the trainer, the type of training conducted, and the date that OSHA student course completion cards were sent to the trainer by OSHA. Manual files contain documentation submitted by the trainer which includes topics covered, students taught, and a copy of the letter sent to the trainer for that class.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Occupational Safety and Health Act of 1970 (29 U.S.C. 651-678); 5 U.S.C. 501.

PURPOSE(S):

To maintain, efficiently and accurately, information on OSHA authorized outreach trainers.

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

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

DISCLOSURE TO CONSUMER REPORTING AGENCIES:

None.

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

Manual and Automated Data Processing (ADP) Files.

RETRIEVABILITY:

Records in the manual system of records are retrieved by the date that the training class was held and by the name of the authorized OSHA outreach trainer.

Records in the ADP system are retrieved by the name of the OSHA authorized outreach trainer or by the trainer's system assigned I.D. number.

SAFEGUARDS:

Locked file cabinets for manual files; computer file accessible through password system available only to authorized OSHA personnel.

RETENTION AND DISPOSAL:

Manual system—retained 5 years, then destroyed; ADP system—retained indefinitely.

SYSTEM MANAGER(S) AND ADDRESS:

Chief, Division of Training and Educational Programs, Occupational

Safety and Health Administration, U.S. Department of Labor, 1555 Times Drive, Des Plaines, Illinois 60018.

NOTIFICATION PROCEDURE:

Individuals wishing to inquire whether this system of records contains information about them should contact the system manager at the system location listed above. Name, address, and date authorized as trainer should be provided.

RECORD ACCESS PROCEDURES:

Individuals wishing to gain access should contact the system manager at the system location listed above.

CONTESTING RECORD PROCEDURES:

Individuals wishing to request amendment must contact the system manager at the system location listed above.

RECORD SOURCE CATEGORIES:

Trainers and any individuals attending any of the OSHA outreach trainer courses (500, 501, 502, 503).

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

DOL/OSHA-12**SYSTEM NAME:**

OSHA Employee Conduct Investigations.

SECURITY CLASSIFICATION:

Unclassified.

SYSTEM LOCATION:

Directorate heads, separate office heads, Regional Administrators, Director Cincinnati Laboratory, Director Salt Lake City Laboratory, of the Occupational Safety and Health Administration (OSHA).

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Employees who are the subject of an investigation or a conduct inquiry.

CATEGORIES OF RECORDS IN THE SYSTEM:

Name, organization, and other information relating to the individual involved. The record also contains investigative report(s) associated with the case, including interviews and other information gathered.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

5 U.S.C. 301.

PURPOSE(S):

These records are maintained to ensure that all appropriate records of problems, misconduct, illegal acts, conflicts of interest, etc., are retained.

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

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

DISCLOSURE TO CONSUMER REPORTING AGENCIES:

None.

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

The records are stored in file folders in metal file cabinets.

RETRIEVABILITY:

By name or case file number.

SAFEGUARDS:

The files are maintained in locked file cabinets with access available only to those with a need to know the information to perform their officially assigned 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:

Directorate heads, separate Office heads, Regional Administrators, Director Cincinnati Laboratory, Director Salt Lake City Laboratory, of the Occupational Safety and Health Administration at addresses listed in the Appendix.

NOTIFICATION PROCEDURE:

Inquiries should be mailed to system managers listed above at addresses listed in the Appendix.

RECORD ACCESS PROCEDURES:

Individuals wishing to gain access to records should contact the appropriate system manager at the system locations listed in the Appendix.

CONTESTING RECORD PROCEDURE:

Individuals wishing to request amendment of any non-exempt records should contact the system manager at the location listed in the Appendix.

RECORD SOURCE CATEGORIES:

Hotline complaints received through the Office of the Inspector General, or through the General Accounting Office; complaints or incident reports

submitted by other employees or members of the public; and other investigative reports.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

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

DOL/OSHA-13**SYSTEM NAME:**

OSHA Office of Training and Education Automated Registration System.

SECURITY CLASSIFICATION:

Unclassified.

SYSTEM LOCATION:

Office of Training and Education, Occupational Safety and Health Administration, U.S. Department of Labor, 1555 Times Drive, Des Plaines, Illinois 60018.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Students from the U.S. Department of Labor, state governments, other Federal agencies and from the private sector. These students are primarily compliance safety and health officers, safety specialists, safety engineers, safety officers, industrial hygienists, instructors, loss control specialists, and others in occupations related to occupational safety and health.

CATEGORIES OF RECORDS IN THE SYSTEM:

Each student's file contains the following information: Student's name, office name, office address, office telephone number, course enrollment history, tuition status, student employment origin, cumulative record of student's continuing educational units (CEU's), and certification maintenance points (CMP's) issued by

this office from fiscal year 1989 to the present. Reports are prepared from these records that identify by individual or group of individuals, the students first and last name, office name, and status of class(es) enrollment (i.e., enrolled, waiting, canceled, or completed). This information is reported by region, state, area office, or course.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Occupational Safety and Health Act of 1970 (29 U.S.C. 651-678).

PURPOSE(S):

To maintain needed enrollment information for proper management of course schedules, curricula and determining individual training needs. Records are used by managers and Office of Training Education staff to develop class rosters, student enrollment history, course/class enrollment changes on a weekly basis, training verification, cancellation notices, confirmation letters and certificates of completion for individual students. Reports are used by Office of Training and Education staff, and OSHA National Office and Regional office staff for managing the registration of students in courses.

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

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

DISCLOSURE TO CONSUMER REPORTING AGENCIES:

None.

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

Magnetic media and manual files.

RETRIEVABILITY:

The operators who operate the system can access information by student's name or by course number. The system administrator can access by student's name, course number, date of enrollment, employment origin, company name, address and phone number.

SAFEGUARDS:

Manual files are stored in locked file cabinets. The hard disk in the computer is secured by the use of a system lock to which only authorized staff have access. Backup floppy disks are stored in locked file cabinets. Access to all manual and ADP files is restricted to authorized personnel only.

RETENTION AND DISPOSAL:

Data for the current year and two preceding years will be retained on the computer hard disk. Data pre-dating this time will be backed up on floppy disks and stored in a locked cabinet. In no case will data predate fiscal year 1989. Files will be destroyed when no longer of any administrative use.

SYSTEM MANAGER(S) AND ADDRESS:

Administrative officer, Office of Training and Education, at the system location in Des Plaines, Illinois.

NOTIFICATION PROCEDURE:

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

RECORD ACCESS PROCEDURES:

Individuals wishing to gain access to non-exempt records should contact the system manager at the system location listed above.

CONTESTING RECORD PROCEDURE:

Individuals wishing to request amendment of any non-exempt records should contact the system manager at the system location listed above.

RECORD SOURCE CATEGORIES:

Students.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

Not applicable.

DOL/OSHA-14**SYSTEM NAME:**

Office of Training and Education Computer-based Acquisition/Financial Records System.

SECURITY CLASSIFICATION:

Unclassified.

SYSTEM LOCATION:

Office of Training and Education, Occupational Safety and Health Administration, U.S. Department of Labor, 1555 Times Drive, Des Plaines, Illinois 60018.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Staff of the Office of Training and Education, including the Training Institute. Individuals doing business with the Office of Training and Education that involve the payment or receipt of funds.

CATEGORIES OF RECORDS IN THE SYSTEM:

Records include necessary data to prepare a procurement requisition including: The requisition number; the

name of the bureau making the procurement request; the specific page number of the requisition; the date of the requisition; the accounting code; the delivery requirement address; the official's name, title, and phone number for information concerning the procurement; an identification if the procurement is for instructional services, or for other supplies/services, if for instructional services—the course number and location of the course; a specific ordering item number and/or stock number; a narrative description of the item or service; the quantity requested; the unit price; the unit issue; the total dollar amount; the narrative justification for making the request; the name, address, and phone number of the suggested vendor; the Office division making the request; and the initials of the staff person(s) making the request. This system of records also contains the necessary data for maintaining a general ledger of accounts. Information will be taken from obligating documents. Records also include necessary data to track the receipt of all receivables.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Occupational Safety and Health Act of 1970 (29 U.S.C. 651-678).

PURPOSE(S):

To provide an acquisition and financial management system which will improve the acquisition process; and provide an efficient means for the accurate recording, tracking, reporting, and control of Office funds and receivables.

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:**

ADP files.

RETRIEVABILITY:

By name of vendor, by name of staff person making a procurement request, by individual travel authorization number, by individual last name, and by any of the data elements identified in the Categories of Records in the System category.

SAFEGUARDS:

Computer disks locked in file cabinets; password system for authorized persons only.

RETENTION AND DISPOSAL:

Dispose of when no longer needed for administrative purposes.

SYSTEM MANAGER(S) AND ADDRESS:

Chief, Division of Administration and Training Information, Occupational Safety and Health Administration, U.S. Department of Labor, 1555 Times Drive, Des Plaines, Illinois 60018.

NOTIFICATION PROCEDURE:

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

RECORD ACCESS PROCEDURES:

Individuals wishing to gain access to non-exempt records should contact the system manager at the system location listed above.

CONTESTING RECORD PROCEDURE:

Individuals wishing to request amendment of any records should contact the system manager at the system location listed above.

RECORD SOURCE CATEGORIES:

Administrative files and procurement files.

SYSTEM EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

DOL/OSHA-15**SYSTEM NAME:**

Office of Training and Education Resource Center Loan Program.

SECURITY CLASSIFICATION:

Unclassified.

SYSTEM LOCATION:

Office of Training and Education, Occupational Safety and Health Administration, U.S. Department of Labor, 1555 Times Drive, Des Plaines, Illinois 60018.

CATEGORIES OF INDIVIDUAL COVERED BY THE SYSTEM:

Individual borrowers who have become qualified to borrow from the Resource Center Collection of occupational safety and health materials.

CATEGORIES OF RECORDS IN THE SYSTEM:

Records contain borrower name, company name and address or home address, company and home telephone numbers, fax number, application form

number, application date, borrower category, audiovisual program title and accession number, audiovisual copyright date, transaction identification number, and transaction date.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Occupational Safety and Health Act of 1970 (29 U.S.C. 651-678) and 5 U.S.C. 301.

PURPOSE(S):

These records are maintained to facilitate the performance of the Resource Center Loan Program which loans occupational safety and health materials to qualified borrowers, for verification of borrower status and authorization to borrow, to track borrower requests for materials through processing and disposition, to maintain material availability and usage information, to track status and history of overdue materials, to maintain records on lost and damaged materials.

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

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

DISCLOSURE TO CONSUMER REPORTING AGENCIES:

None.

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

STORAGE:

Manual files for signed borrower agreement forms, borrower request forms, and program booking forms are maintained in file cabinets. Automated Data Processing (ADP) files for all other records.

RETRIEVABILITY:

By name of borrower for signed borrower agreement forms (manual), by any of the data elements in Categories of Records in the System section (ADP).

SAFEGUARDS:

Manual files and computer disks are locked in file cabinets. Password system access to authorized personnel for ADP files.

RETENTION AND DISPOSAL:

Dispose of when no longer needed for administrative purposes.

SYSTEM MANAGER(S) AND ADDRESS:

Chief, Division of Administration and Training Information, Occupational Safety and Health Administration, U.S. Department of Labor, 1555 Times Drive, Des Plaines, Illinois 60018.

NOTIFICATION PROCEDURE:

Any individual who wishes to be notified if this system of records contains a record pertaining to them may apply in writing to the system manager at the above address.

RECORD ACCESS PROCEDURES:

Any individual wishing to gain access to any records pertaining to them, may apply in writing to the system manager at the system address listed above.

CONTESTING RECORD PROCEDURES:

Individuals wishing to request modification or deletion to any records pertaining to them, may apply in writing to the system manager at the system address listed above.

RECORD SOURCE CATEGORIES:

Individuals and information pertaining to Resource Center materials are taken from Resource Center files.

SYSTEM EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

DOL/PWBA-2

SYSTEM NAME:

PWBA Enforcement Management System.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Office of Enforcement, PWBA, U.S. Department of Labor, 200 Constitution Ave., NW, Washington, DC 20210, and all PWBA field offices as listed in the Appendix A to this document.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Plan administrators, trustees, and those individuals who provide advice or services to employee benefit plans, and other individuals (such as the named defendants) involved in investigations and enforcement actions.

CATEGORIES OF RECORDS IN THE SYSTEM:

Information including plan name, plan administrator's name, service provider's name, trustee's name, and names of other individuals (such as the named defendants) involved in investigations and enforcement actions.

AUTHORITY FOR THE MAINTENANCE OF THE SYSTEM:

29 U.S.C. 1134-37.

PURPOSE(S):

This system of records is used to access information related to case files involving investigations instituted by the Department of Labor (DOL) under

the Title I of the Employee Retirement Security Act of 1974 (ERISA). The investigative files are used in the prosecution of violations of law, whether civil or criminal in nature.

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, pursuant to 29 U.S.C. 1134, a record from this system of records may be disclosed, subject to the restrictions imposed by various statutes and rules, such as the Privacy Act, to a department or agency of the United States, or to any person actually affected by any matter which may be the subject of the investigation; except that any information obtained by the Secretary of Labor pursuant to section 6103 of Title 26 shall be made available only in accordance with regulations prescribed by the Secretary of the Treasury.

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 an electronic database and in paper case files.

RETRIEVABILITY:

Records are retrieved from the electronic database by the name of the plan, service provider name, trustee name, or the name of another individual (such as the named defendant) involved in the investigation or enforcement action. Records are also retrieved by case number, the plan's employer identification number (EIN) and plan number (if known), or service provider or trustee EIN.

SAFEGUARDS:

Direct access to and use of these records is restricted to authorized personnel in the Office of Enforcement and PWBA field offices. In the Office of Enforcement, manual files are maintained in file cabinets with access limited to OE staff. In the field offices, manual files are maintained in file cabinets with access limited to appropriate PWBA staff. In all instances, the electronic database is password protected and limited to use by authorized personnel.

RETENTION AND DISPOSAL:

Investigative case files are retained in the office for one year after completion

by voluntary compliance or litigation, or related actions following voluntary compliance or litigation. After one year, the case files are transferred to the Federal Records Center for seven (7) years and then destroyed. The electronic database files are retained permanently.

SYSTEM MANAGER(S) AND ADDRESS:

In the national office: Director of Enforcement, Pension and Welfare Benefits Administration, U.S. Department of Labor, 200 Constitution Avenue, NW., Washington, DC 20210.

In the Regional offices: the Regional Director (as listed in the Appendix to this document).

In the District Offices: the District Supervisor (as listed in the Appendix A to this document).

NOTIFICATION PROCEDURES:

Individuals wishing to inquire whether this system of records contains information about them should contact the appropriate system manager described above. Individuals should furnish their full name, address, and employee benefit plan association and should identify the employee benefit plan by name, address, and EIS (if known).

RECORD ACCESS PROCEDURES:

Request for access to records should follow the Notification procedure described above. Specific materials in the system have been exempted from Privacy Act provisions under 5 U.S.C. 552a(j)(2) and (k)(2). To the extent that this system of records is not subject to exemption, it is subject to access, contest of the content of the record, and appeal of a denial to access. A determination as to exemption shall be made at the time a request for access is received. Access procedures are the same as the Notification procedures described above. Individuals requesting access must also comply with Privacy Act regulations on verification of identity and access to records (29 CFR 71.2).

CONTESTING RECORD PROCEDURES:

Same as the Notification procedure above, except individuals desiring to contest or amend information maintained in the system should direct their written request to the appropriate System Manager listed above, 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:

Individual complaints, witnesses, or interviews conducted during

investigations or plan participant or beneficiary information obtained during investigations on cases opened in the Office of Enforcement or in any of the PWBA field offices.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

a. *Criminal Law Enforcement:* In accordance with subsection 552a(j)(2) of the Privacy Act, 5 U.S.C. 552a(j)(2), information maintained for criminal law enforcement purposes in PWBA's Office of Enforcement or its field offices is exempt from subsections (c)(3) and (4), (d), (e)(1), (2), and (3), (e)(4)(G), (H), and (I), (e)(5) and (8), (f), and (g) of 5 U.S.C. 552a.

b. *Other Law Enforcement:* In accordance with subsection 552a(k)(2) of the Privacy Act, 5 U.S.C. 552a(k)(2), investigatory material in this system of records compiled for civil law enforcement purposes is exempt from subsections (c)(3), (d)(1), (2), (3), and (4), (e)(1), (e)(4)(G) and (I), and (f) of 5 U.S.C. 552a.

DOL/PWBA-3

SYSTEM NAME:

PWBA Correspondence Files.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Office of Participant Assistance and Communications

Office of Exemption Determinations
Office of Regulations and Interpretations

Office of Health Plan Standards and Compliance Assistance

U.S. Department of Labor, 200 Constitution Avenue, NW, Washington, DC 20210

Atlanta Regional Office, 61 Forsyth Street, Suite 7B54, Atlanta, GA 30303

Boston Regional Office, J.F.K. Building, Room 575, Boston, MA 02203

San Francisco Regional Office, 71 Stevenson Street, Suite 915, P.O. Box 190250, San Francisco, CA 94119-250

Seattle District Office, 1111 Third Avenue, MIDCOM Tower, Suite 860, Seattle, WA 98101-3212.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Correspondents.

CATEGORIES OF RECORDS IN THE SYSTEM:

Letters requesting information, advisory opinions, FOIA requests, Privacy Act Requests, or submitting comments, the Department's replies thereto, and related internal memoranda, including notes pertaining to meetings and telephone calls.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

5 U.S.C. 1135.

PURPOSE(S):

These records are maintained to take action on or to respond to a complaint, inquiry or comment concerning certain aspects of Title I of ERISA or to respond to requests under FOIA or Privacy Act and to track the progress of such correspondence through the office.

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

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

DISCLOSURE TO CONSUMER REPORTING AGENCIES:

None.

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

STORAGE:

Manual files and electronic tracking system.

RETRIEVABILITY:

Files are retrieved by an individual name or control number.

SAFEGUARDS:

Access to these records is limited to authorized PWBA staff. Computer system is password protected and accessible only to personnel creating the database.

RETENTION AND DISPOSAL:

The retention schedule for FOIA and Privacy Act request files follows General Records Schedule 14 and are retained two years after date of reply or six years after issuance of the appeal determination. If there is litigation in the underlying matter, the file is retained for three years after the litigation is completed. Requests for advisory opinions and the replies thereto are retained indefinitely, requests for information are destroyed one year after completion of project. Electronic index is destroyed six years after date of last entry.

SYSTEM MANAGER(S) AND ADDRESS:

Director of the Office of Participant Assistance and Communications
Director of the Office of Exemption Determinations

Director of the Office of Regulations and Interpretations

Director of the Office of Health Plan Standards and Compliance Assistance
Pension and Welfare Benefits Administration, U.S. Department of Labor, 200 Constitution Avenue, NW, Washington, DC 20210.

Regional Directors in the following offices:

Atlanta Regional Office, 61 Forsyth Street, Suite 7B54, Atlanta, GA 30303
 Boston Regional Office, J.F.K. Building, Room 575, Boston, MA 02203
 San Francisco Regional Office, 71 Stevenson Street, Suite 915, PO Box 190250, San Francisco, CA 94119-250
 District Supervisor, Seattle District Office, 1111 Third Avenue, MIDCOM Tower, Suite 860, Seattle, WA 98101-3212.

NOTIFICATION PROCEDURE:

Individuals wishing to inquire whether this system of records contains information about them should contact the system manager indicated above. All requests must be in writing and mailed or presented in person during the Department's normal business hours.

RECORDS 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:

Correspondence from individuals and responses thereto.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

DOL/PWBA-4

SYSTEM NAME:

Technical Assistance and Inquiries System.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Division of Technical Assistance and Inquiries in the National office, all regional and district offices.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Correspondents and callers requesting information and assistance.

CATEGORIES OF RECORDS IN THE SYSTEM:

General and congressional telephone inquiries and correspondence regarding

all aspects of pension and welfare benefit plans and records which provide the status of individuals under these plans.

AUTHORITY FOR THE MAINTENANCE OF THE SYSTEM:

29 U.S.C. 1135.

PURPOSE(S):

These records are used to take action on or respond to inquiries from Members of Congress and private citizens.

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, records in this system may be disclosed to the relevant employee benefit plan administrator, third party administrator, insurance carrier or other party as necessary to facilitate a resolution to the circumstance presented by the individual seeking assistance from the agency.

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 file cabinets and on computer system.

RETRIEVABILITY:

By name of individual.

SAFEGUARDS:

In the National office, manual files are maintained in file cabinets with access limited to staff of the Division of Technical Assistance and Inquiries. In the regional and district offices, manual files are maintained in file cabinets with access limited to appropriate PWBA staff. Computer system is password protected and limited to use by authorized personnel.

RETENTION AND DISPOSAL:

Manual records are maintained for one year after closing the file, then destroyed. Computer files are maintained for the same period as the manual records or deleted when no longer needed which ever is later.

SYSTEM MANAGER(S) AND ADDRESS:

In the national office: Director of the Office of Participant Assistance and Communications, Pension and Welfare Benefits Administration, U.S. Department of Labor, 200 Constitution Avenue, NW, Washington, DC 20210.

In the Regional offices: the Regional Director

In the District Offices: the District Supervisor.

NOTIFICATION PROCEDURE:

Individuals wishing to inquire whether this system of records contains information about them should contact a 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 seeking technical assistance or information.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

DOL/PWBA-5

SYSTEM NAME:

Public Disclosure Request Tracking System.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

U.S. Department of Labor, PWBA, Public Disclosure Room, 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 plan filings made with the Department of Labor or the Internal Revenue Service. Data includes individual requester's name, street address, city, state, zip code, and telephone number, the Employer Identification Number and Plan Number of the plan for which information has been requested and the documents requested.

AUTHORITY FOR THE MAINTENANCE OF THE SYSTEM:

5 U.S.C. 1021 et seq.

PURPOSE(S):

These records are used by authorized PWBA disclosure personnel to process requests made to the Public Disclosure Room and by PWBA managers to compile statistical reports regarding such requests for management information purposes.

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

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

DISCLOSURE TO CONSUMER REPORTING AGENCIES:

None.

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

Manual files and computer storage.

RETRIEVABILITY:

By individual name, control number or EIN/PN of requested plan.

SAFEGUARDS:

Manual files are maintained in file cabinets with access limited to authorized personnel. Computer system is password protected and accessible only to personnel creating and maintaining the database.

RETENTION AND DISPOSAL:

Manual files are destroyed after three months, the electronic index is deleted on the same schedule as the manual files or when no longer needed whichever is later.

SYSTEM MANAGER(S) AND ADDRESS:

Director of the Office of Participant Assistance and Communications, Pension and Welfare Benefits Administration, 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 Public Disclosure Room.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

DOL/PWBA-6**SYSTEM NAME:**

PWBA Debt Collection/Management System.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Pension and Welfare Benefits Administration, Office of Program Planning, Evaluation and Management, U.S. Department of Labor, 200 Constitution Avenue, NW., Washington, DC 20210.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Individuals who have been assessed fines or penalties under provisions of ERISA sections 502(c)(2), 502(i) and 502(l).

CATEGORIES OF RECORDS IN THE SYSTEM:

Records containing data regarding the assessment of fines/penalties under provisions of ERISA sections 502(c)(2), 502(i) and 502(l). Data includes individuals (or trade) name, street address, city, state, zip code, telephone number, taxpayer identification number, and transaction information (e.g., correspondence, debt status and payment records).

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

29 U.S.C. 1132, 31 U.S.C. 3711(a) and 29 CFR Part 20.

PURPOSE(S):

Records are used for maintaining an ongoing Debt Collection/Management Program requiring tracking and accounting for assessed fines/penalties, determination of collection status and assignment of delinquent debts to private collection agencies.

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

Relevant records may be disclosed to private collection agencies in order for them to collect debts subject to this program.

DISCLOSURE TO CONSUMER REPORTING AGENCIES:

Records may be disclosed for delinquent accounts.

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

Manual files and computer storage.

RETRIEVABILITY:

Debt Collection/Management data is sorted numerically by assigned case number. Records in this system are retrieved by computer and manually using the PWBA-assigned case number and a cross-reference debtor taxpayer identification number.

SAFEGUARDS:

Manual files are maintained in file cabinets with access limited to authorized personnel. Computer system is accessible, through password, only to personnel creating and maintaining the database.

RETENTION AND DISPOSAL:

Both, manual and automated records are maintained for two years after the case is closed or until expiration of applicable statute of limitations, whichever occurs first.

SYSTEM MANAGER(S) AND ADDRESS:

Administrative Officer, Pension and Welfare Benefits Administration, U.S. Department of Labor, 200 Constitution Avenue, NW, Washington, DC 20210.

NOTIFICATION PROCEDURE:

Individuals wishing to inquire whether this system of records contains information about them should contact the system manager indicated above. Individuals must furnish their full name and additional personal identifiers for their records to be located and identified.

RECORD ACCESS PROCEDURE:

See notification procedure above. Individuals requesting access must also comply with Privacy Act regulations on verification of identity and access to records. (29 CFR 71.2.).

CONTESTING RECORD PROCEDURE:

Same as notification procedure above, except individuals desiring to contest or amend information maintained in the

system should direct their written request to the system manager listed above, and state clearly and concisely what information is being contested, the reasons for contesting it, and the proposed amendment to the information sought pursuant to 29 CFR 71.9.

RECORD SOURCE CATEGORIES:

Investigators and auditors.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

DOL/PWBA-7**SYSTEM NAME:**

PWBA Employee Conduct Investigations.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

U.S. Department of Labor, Pension and Welfare Benefits Administration, Office of Program Planning, Evaluation and Management, 200 Constitution Avenue, NW., Washington, DC 20210.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

PWBA employee(s) against whom allegations of misconduct have been made.

CATEGORIES OF RECORDS IN THE SYSTEM:

The file contains investigative report(s) compiled in the course of employee misconduct investigations, including interviews and other data.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

5 U.S.C. 301.

PURPOSE(S):

The records are compiled as an adjunct to investigating allegations of employee misconduct, to make determinations on personnel actions and to document agency action in most cases.

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

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

DISCLOSURE TO CONSUMER REPORTING AGENCIES:

None.

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

The records are stored in file folders in metal cabinets.

RETRIEVABILITY:

Records are retrieved by name.

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. A charge out system is used to monitor and restrict the withdrawal of records from this file.

RETENTION AND DISPOSAL:

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

SYSTEM MANAGER(S) AND ADDRESS:

Director, Office of Program Planning, Evaluation, and Management, Pension and Welfare Benefits Administration, 200 Constitution Avenue NW., Washington, DC 20210.

NOTIFICATION PROCEDURE:

Inquiries should be mailed or presented to the System Manager noted at the address listed above.

RECORD ACCESS PROCEDURES:

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

- a. Name.
- b. Approximate date of the investigation.

Individuals requesting access must also comply with the Privacy Act regulations regarding 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:

Complaints through the Office of the Inspector General's and the General Accounting Office's hotline system; allegations and incident reports submitted by employees; statements by the subject, fellow employees or members of the public; and other investigative reports.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

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

DOL/PWBA-8**SYSTEM NAME:**

PWBA Consolidated Training Record.

SECURITY CLASSIFICATION:

Unclassified.

SYSTEM LOCATION:

Office of Program Planning, Evaluation & Management, Pension and Welfare Benefits Administration, 200 Constitution Avenue, NW., Washington, DC 20210.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Employees of the Pension and Welfare Benefits Administration.

CATEGORIES OF RECORDS IN THE SYSTEM:

Records reflect educational attainment levels (to include areas of study), professional certifications, date of accession to PWBA, in-house (PWBA) technical training courses and Federal Law Enforcement Training Center programs completed by employees of the Pension and Welfare Benefits Administration.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

5 U.S.C. 301.

PURPOSE(S):

These records are used to identify which employees have completed certain of the courses, and the number of employees awaiting training. This information, in the aggregate, helps project the number of courses to schedule for succeeding years. The prior formal education information is used to respond to Congressional and other inquiries regarding the educational

attainment level of our workforce. Finally, a combination of the data elements is used to identify employees with specific educational backgrounds and current skill levels who may be considered as Instructors for the several agency-sponsored courses.

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:

Electronic Files.

RETRIEVABILITY:

By name of the individual employee.

SAFEGUARDS:

System is password protected and limited to use by authorized personnel in the Office of Program Planning, Evaluation and Management.

RETENTION AND DISPOSAL:

Destroyed when 5 years old or when no longer needed, whichever is later.

SYSTEM MANAGER(S) AND ADDRESS:

PWBA Training Coordinator, Office of Program Planning, Evaluation and Management, PWBA, U.S. Department of Labor, 200 Constitution Avenue, NW, Washington, DC 20210.

NOTIFICATION PROCEDURE:

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

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:

Individual employees, SF171s, or resume(s) submitted at time of accession to PWBA and individual training course records.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

DOL/PWBA-9

SYSTEM NAME:

Office of Enforcement
Correspondence Tracking System.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Office of Enforcement, PWBA, U.S. Department of Labor, 200 Constitution Ave., NW., Washington, DC 20210.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Correspondents, such as employee benefit plan professionals, and other individuals involved in investigations and enforcement actions.

CATEGORIES OF RECORDS IN THE SYSTEM:

Information including plan name, plan administrator's name, service provider's name, trustee's name, and names of other individuals (such as the named defendants) involved in investigations and enforcement actions. Letters from the general public requesting information under the Freedom of Information Act or relating to all aspects of pension and welfare benefit plans covered by Title I of the Employee Retirement Income Security Act of 1974 (ERISA), the status of individuals under these plans, the Department's replies to the inquiries, and related internal memoranda, including notes pertaining to meetings and telephone calls.

AUTHORITY FOR THE MAINTENANCE OF THE SYSTEM:

29 U.S.C. 1134-37.

PURPOSE(S):

This system of records is used to track the progress of correspondence through the Office of Enforcement, including a record of action taken on or response to an inquiry received from the general public or others, and to access investigative information related to field office correspondence regarding investigations instituted by the Department of Labor (DOL) under the Title I of the Employee Retirement Security Act of 1974 (ERISA). The investigative files are used in the prosecution of violations of law, whether civil, criminal or regulatory in nature.

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, pursuant to 29 U.S.C. 1134, a record from this system of records may be disclosed, subject to the restrictions imposed by various statutes and rules, such as the Privacy Act, to a department or agency of the United States, or to any person actually affected by any matter which may be the subject of the investigation; except that any information obtained by the Secretary of Labor pursuant to section 6103(g) of Title 26 shall be made available only in accordance with regulations prescribed by the Secretary of the Treasury.

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 an electronic database.

RETRIEVABILITY:

Records are retrieved from the electronic database by the name of the plan, service provider name, trustee name, the name of another individual (such as the named defendant) involved in the investigation or enforcement action, or the name of the correspondent. Records are also retrieved by case number, the plan's employer identification number (EIN).

SAFEGUARDS:

Direct access to and use of these records is restricted to authorized personnel in the Office of Enforcement. General correspondence are maintained in file cabinets with access limited to OE staff. The electronic database is password protected and limited to use by authorized personnel.

RETENTION AND DISPOSAL:

General correspondence files are destroyed after three years. The electronic database files are deleted when no longer needed.

SYSTEM MANAGER(S) AND ADDRESS:

Director of Enforcement, Pension and Welfare Benefits Administration, U.S. Department of Labor, 200 Constitution Avenue, NW, Washington, DC 20210.

NOTIFICATION PROCEDURES:

Individuals wishing to inquire whether this system of records contains information about them should contact

the System Manager. Individuals should furnish their full name, address, and employee benefit plan association and should identify the employee benefit plan by name, address, and EIN (if known).

RECORD ACCESS PROCEDURES:

Request for access to records should follow the notification procedure described above. Specific materials in the system have been exempted from Privacy Act provisions under 5 U.S.C. 552a (j)(2) and (k)(2). To the extent that this system of records is not subject to exemption, it is subject to access, contest of the content of the record, and appeal of a denial to access. A determination as to exemption shall be made at the time a request for access is received. Access procedures are the same as the Notification procedures described above. Individuals requesting access must also comply with Privacy Act regulations regarding verification of identity and access to records (29 CFR 71.2).

CONTESTING RECORD PROCEDURES:

Same as the Notification procedure above, except individuals desiring to contest or amend information maintained in the system should direct their written request to the appropriate System Manager listed above, 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:

Correspondence from individuals, individual complaints, witnesses, or interviews conducted during investigations or plan participant or beneficiary information obtained during investigations on cases opened in the Office of Enforcement or in any of the PWBA field offices.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

a. *Criminal Law Enforcement:* In accordance with subsection 552a(j)(2) of the Privacy Act, 5 U.S.C. 552a(j)(2), information maintained for criminal law enforcement purposes in PWBA's Office of Enforcement or its field offices is exempt from subsections (c)(3), and (4), (d), (e)(1), (2), and (3), (e)(4)(G), (H), and (I), (e) (5) and (8), (f), and (g) of 5 U.S.C. 552a.

b. *Other Law Enforcement:* In accordance with subsection 552a(k)(2) of the Privacy Act, 5 U.S.C. 552a(k)(2), investigatory material in this system of records compiled for civil law enforcement purposes is exempt from subsections (c)(3), (d)(1), (2), (3), and (4),

(e)(1), (e)(4)(G) and (I), and (f) of 5 U.S.C. 552a.

DOL/PWBA-10

SYSTEM NAME:

PWBA Civil Litigation Case Information System.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Office of Enforcement, PWBA, U.S. Department of Labor, 200 Constitution Ave., NW, Washington, DC 20210.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

The named defendants in the civil actions, and the names of other individuals involved in investigations and enforcement actions resulting in civil litigation with PWBA.

CATEGORIES OF RECORDS IN THE SYSTEM:

Documents such as litigation memoranda, legal documents, press releases, judgements, consent orders and other documents which relate information about a case in civil litigation. Information includes plan name, plan administrator's name, service provider's name, trustee's name, the named defendants, and the names of other individuals involved in investigations and enforcement actions resulting in civil litigation with PWBA.

AUTHORITY FOR THE MAINTENANCE OF THE SYSTEM:

29 U.S.C. 1134-37.

PURPOSE(S):

This system of records is used to access information related to civil litigation case files involving investigations instituted by the Department of Labor (DOL) under the Title I of the Employee Retirement Security Act of 1974 (ERISA). The civil litigation case files are used in the prosecution of violations of law.

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, pursuant to 29 U.S.C. 1134, a record from this system of records may be disclosed, subject to the restrictions imposed by various statutes and rules, such as the Privacy Act, to a department or agency of the United States, or to any person actually affected by any matter which may be the subject of the investigation; except that any information obtained by the Secretary of Labor pursuant to section 6103(g) of Title 26 shall be made

available only in accordance with regulations prescribed by the Secretary of the Treasury.

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 an electronic database and in manual files.

RETRIEVABILITY:

Records are retrieved by the name of the plan, service provider name, trustee name, and/or the named defendants in the investigation or enforcement action.

SAFEGUARDS:

Direct access to and use of these records is restricted to authorized personnel in the Office of Enforcement (OE). The civil litigation case files are maintained in file cabinets with access limited to OE staff. The electronic database is password protected and limited to use by authorized personnel.

RETENTION AND DISPOSAL:

Manual files are destroyed after three years, the electronic index is deleted on the same schedule as the manual files or when no longer needed whichever is later.

SYSTEM MANAGER(S) AND ADDRESS:

Director of Enforcement, Pension and Welfare Benefits Administration, U.S. Department of Labor, 200 Constitution Avenue, NW., Washington, DC 20210.

NOTIFICATION PROCEDURES:

Individuals wishing to inquire whether this system of records contains information about them should contact the system manager. Individuals should furnish their full name, address, and employee benefit plan association and should identify the employee benefit plan by name and address.

RECORD ACCESS PROCEDURES:

Request for access to records should follow the Notification procedure described above. Specific materials in the system have been exempted from Privacy Act provisions under 5 U.S.C. 552a. To the extent that this system of records is not subject to exemption, it is subject to access, contest of the content of the record, and appeal of a denial to access. A determination as to exemption shall be made at the time a request for access is received. Access procedures are the same as the Notification procedures described above. Individuals

requesting access must also comply with Privacy Act regulations on verification of identity and access to records (29 CFR 71.2).

CONTESTING RECORD PROCEDURES:

Same as the Notification procedure above, except individuals desiring to contest or amend information maintained in the system should direct their written request to the System Manager, 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:

Investigators, individual defendants, witnesses, and other individuals who have relevant information.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

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

DOL/PWBA-11

SYSTEM NAME:

PWBA Criminal Case Information System.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION

Office of Enforcement, PWBA, U.S. Department of Labor, 200 Constitution Ave., NW, Washington, DC 20210.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Defendants in criminal actions involving private sector employee benefit plans.

CATEGORIES OF RECORDS IN THE SYSTEM:

Court and other documents which transmit information about the progress and/or disposition of criminal cases involving private sector employee benefit plans and written summaries of same. Documents include media articles, press releases, indictments, plea agreements, judgements, appellate documents and documents bearing evidence of restitution.

AUTHORITY FOR THE MAINTENANCE OF THE SYSTEM:

29 U.S.C. 1134-37.

PURPOSE(S):

This system of records is used to access information related to criminal actions involving investigations conducted by the Department of Labor (DOL). The criminal information files are used in the prosecution of violations of law.

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, pursuant to 29 U.S.C. 1134, a record from this system of records may be disclosed, subject to the restrictions imposed by various statutes and rules, such as the Privacy Act, to a department or agency of the United States, or to any person actually affected by any matter which may be the subject of the investigation; except that any information obtained by the Secretary of Labor pursuant to section 6103(g) of Title 26 shall be made available only in accordance with regulations prescribed by the Secretary of the Treasury.

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 an electronic tracking system and in manual files.

RETRIEVABILITY:

Manual files are retrieved by the name of the defendant. Records in electronic index may be retrieved by court, defendant's name, violation, type of plan, etc.

SAFEGUARDS:

Direct access to and use of these records is restricted to authorized personnel in the Office of Enforcement. The electronic system is password protected and limited to use by authorized personnel.

RETENTION AND DISPOSAL:

Manual files are destroyed after three years after case is closed, the electronic index is deleted on the same schedule as the manual files or when no longer needed whichever is later.

SYSTEM MANAGER(S) AND ADDRESS:

Director of Enforcement, Pension and Welfare Benefits Administration, U.S. Department of Labor, 200 Constitution Avenue, NW, Washington, DC 20210.

NOTIFICATION PROCEDURES:

Individuals wishing to inquire whether this system of records contains information about them should contact the system manager. Individuals should furnish their full name, address, and employee benefit plan association and should identify the employee benefit plan by name and address.

RECORD ACCESS PROCEDURES:

Request for access to records should follow the Notification procedure described above. Specific materials in the system have been exempted from Privacy Act provisions under 5 U.S.C. 552a(j)(2). To the extent that this system of records is not subject to exemption, it is subject to access, contest of the content of the record, and appeal of a denial to access. A determination as to exemption shall be made at the time a request for access is received. Access procedures are the same as the Notification procedures described above. Individuals requesting access must also comply with Privacy Act regulations on verification of identity and access to records (29 CFR 71.2).

CONTESTING RECORD PROCEDURES:

Same as the Notification procedure above, except individuals desiring to contest or amend information maintained in the system should direct their written request to the System Manager, 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:

Individual defendants, witnesses, and other individuals who have relevant information.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

In accordance with subsection 552a(j)(2) of the Privacy Act, 5 U.S.C. 552a(j)(2), information maintained for criminal law enforcement purposes in PWBA's Office of Enforcement or its field offices is exempt from subsections (c)(3) and (4), (d), (e)(1), (2), and (3), (e)(4)(G), (H), and (I), (e) (5) and (8), (f), and (g) of 5 U.S.C. 552a.

DOL/PWBA-12**SYSTEM NAME:**

Publication Hotline Requests

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

GMR, Inc. 7203 Gateway Court,
Manassas, VA 20109.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Individuals requesting PWBA publications via the toll free telephone number.

CATEGORIES OF RECORDS IN THE SYSTEM:

Data regarding requests for copies of PWBA publications that are received through the toll free publication request line. Data includes individual requester's name, street address, city, state, zip code, telephone number, the publication(s) ordered and the quantity, the date the order was placed and the date it was filled.

AUTHORITY FOR THE MAINTENANCE OF THE SYSTEM:

5 U.S.C. 1135.

PURPOSE(S):

These records are maintained to process requests made to the PWBA Toll Free Publication Hotline for publications.

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

None except those mentioned 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:

Records on this system are retrieved electronically by using the name of requestor.

SAFEGUARDS:

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

RETENTION AND DISPOSAL:

Destroyed when three months old or when no longer needed, whichever is later.

SYSTEM MANAGER(S) AND ADDRESS:

Director of the Office of Participant Assistance and Communications,
Pension and Welfare Benefits Administration, U.S. Department of Labor, 200 Constitution Avenue, NW, Washington, DC 20210.

NOTIFICATION PROCEDURE:

Individuals wishing to inquire whether this system of records contains information about them should contact the system manager indicated above. 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 Privacy Act regulations on verification of identity and access to records (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 publications.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

DOL/PWBA-13**SYSTEM NAME:**

Office of Exemption Determination
ERISA Sec. 502(l) Files.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Office of Exemption Determinations,
Pension and Welfare Benefits Administration, U.S. Department of Labor, 200 Constitution Avenue, NW., Washington, DC 20210.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Individuals who have petitioned the Secretary of Labor for relief from the monetary penalties imposed under ERISA Sec. 502(l).

CATEGORIES OF RECORDS IN THE SYSTEM:

Letters from individuals seeking relief from the 502(l) penalties, attachments supporting their petitions for relief, the Department's replies thereto, and related internal memoranda, including notes pertaining to meetings and telephone calls.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

29 U.S.C. 1135.

PURPOSE(S):

These records are maintained to document the Department's response to petitioners' requests for relief from the section 502(l) penalties. Such penalties are imposed upon those who are found to have violated the fiduciary and prohibited transaction provisions of Part 4 of Title I of ERISA.

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

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

DISCLOSURE TO CONSUMER REPORTING AGENCIES:

None.

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

Manual files and computerized index.

RETRIEVABILITY:

Files are retrieved by name of requester using a computerized index.

SAFEGUARDS:

Access to these records is limited to authorized PWBA staff. Computer system is password protected and accessible only to personnel creating the database.

RETENTION AND DISPOSAL:

Manual records are maintained in the Office of Exemption Determinations for up to two years after case closure, then transferred to the Federal Records Center for retention for an additional 23 years. Electronic records are destroyed on the same schedule as the manual files or when no longer needed, whichever is later.

SYSTEM MANAGER(S) AND ADDRESS:

Director of Exemption
Determinations, Pension and Welfare

Benefits Administration, U.S. Department of Labor, 200 Constitution Avenue, NW, Washington, DC 20210.

NOTIFICATION PROCEDURE:

Individuals wishing to inquire whether this system of records contains information about them should contact the system manager indicated above. All requests must be in writing and mailed or presented in person during the Department's normal business hours.

RECORDS ACCESS PROCEDURES:

Same as notification procedures. Individuals requesting access must also comply with Privacy Act regulations on verification of identity and access to records (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 a 502(l) exemption and the responses thereto.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

DOL/PWBA-14

SYSTEM NAME:

Investment Advisor Registration Data Base.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Department of Labor, PWBA Public Disclosure Room, U.S. Department of Labor, Washington, DC 20210.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Investment advisers who manage less than \$25 million in assets and wish to obtain investment advisor status under the Employee Retirement Income Security Act.

CATEGORIES OF RECORDS IN THE SYSTEM:

Copies of state registration forms. Such forms vary from state to state, but typically include name, SEC file number, Employer Identification number, social security number, business address, etc.

AUTHORITY FOR THE MAINTENANCE OF THE SYSTEM:

29 U.S.C. 1002(38).

PURPOSE(S):

To develop a listing of individuals who have status as an investment advisors under ERISA.

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

The records must be publicly available in accordance with ERISA.

DISCLOSURE TO CONSUMER REPORTING AGENCIES:

None.

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

STORAGE:

Manual records and electronic listing.

RETRIEVABILITY:

Records on this system are retrieved electronically by the name of investment advisor. A list of the name, location, state of registration, and date filed is available on the PWBA web-site.

SAFEGUARDS:

Computer system is password protected and accessible only to personnel creating and maintaining the database. Manual files are stored off site and are only available to authorized personnel.

RETENTION AND DISPOSAL:

Manual files are destroyed when six years old. Electronic version is deleted on the same schedule as the manual files or when no longer needed, whichever is later.

SYSTEM MANAGER(S) AND ADDRESS:

Director of the Office of Participant Assistance and Communications, Pension and Welfare Benefits Administration, U.S. Department of Labor, 200 Constitution Avenue, NW., Washington, DC 20210.

NOTIFICATION PROCEDURE:

Individuals wishing to inquire whether this system of records contains information about them should contact the system manager indicated above. 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 Privacy Act regulations on verification of identity and access to records (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:

Investment advisors who request investment advisor status under ERISA.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

DOL/PWBA-15

SYSTEM NAME:

PWBA Inventory Management Data Base.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

U.S. Department of Labor, Office of Information Management, Pension and Welfare Benefits Administration, 200 Constitution Avenue, NW., Washington, DC 20210.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Individuals assigned custody of PWBA-owned ADP equipment.

CATEGORIES OF RECORDS IN THE SYSTEM:

Electronic records of PWBA-owned ADP hardware, its assigned location, the individual assigned custody of equipment, acquisition/disposal and warranty data.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

5 U.S.C. 301.

PURPOSE(S):

To identify the makes and models of all PWBA owned ADP hardware, the equipment's current location within the agency and the individual to whom it is assigned.

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:

Electronic database.

RETRIEVABILITY:

Files are retrieved using individual's name.

SAFEGUARDS:

Access to these records is limited to authorized PWBA staff. The computer system provides security with: (1) Mapping rights on the network, (2) network user logon passwords, and (3) database passwords.

RETENTION AND DISPOSAL:

Records are destroyed when no longer needed for administrative, legal, audit, or other operational purposes.

SYSTEM MANAGER(S) AND ADDRESS:

Director of Information Management, Pension and Welfare Benefits Administration, U.S. Department of Labor, 200 Constitution Ave., 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. All requests must be in writing and mailed or presented in person during the Department's normal business hours.

RECORDS ACCESS PROCEDURES:

Same as notification procedure. Individuals requesting access must also comply with US 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 assigned computer equipment and individuals assigning the computer equipment.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

DOL/PWBA-16**SYSTEM NAME:**

Form 5500EZ Filings.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

U.S. Department of Labor, Pension and Welfare Benefits Administration, Attention: EFAST 3833 Greenway Drive, Lawrence, KS 66046-1290.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Individuals who have filed a Form 5500EZ with the Department of Labor for plan years beginning on or after January 1, 1999.

CATEGORIES OF RECORDS IN THE SYSTEM:

Forms 5500EZ filed with the Department of Labor for plan years beginning on or after January 1, 1999.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

26 U.S.C. 6058(a); 29 U.S.C. 1135, 1137, 1143.

PURPOSE(S):

These records satisfy the reporting and disclosure requirements mandated by the Employee Retirement Income Security Act of 1974, as amended, and the Internal Revenue Code.

Note: This system of records is maintained by the Department of Labor for the benefit of the Internal Revenue Service (IRS).

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:**

Original paper filings, electronic image files of the filings, and electronic data files extracted from the filing.

RETRIEVABILITY:

Retrieved using personal name, taxpayer identification number, or Social Security number; plan number; and plan year.

Note: Only the IRS can retrieve this data.

SAFEGUARDS:

Accessible only to authorized personnel. Safeguards include both electronic safeguards, including C2 compliant systems and password-protected files, and physical safeguards, including a restricted-access facility.

RETENTION AND DISPOSAL:

Paper filings are retained by the system manager for 6 months, after which time they are retained off-site for a period of fifty years. Electronic files are retained by the system manager for a period of fifty years. At the end of

their respective retention periods, the paper and electronic files are destroyed.

SYSTEM MANAGER(S) AND ADDRESS:

Director, Office of Information Management, Pension and Welfare Benefits Administration, U.S. Department of Labor, 200 Constitution Avenue, NW, Washington, DC 20210.

NOTIFICATION PROCEDURE:

Individuals wishing to inquire whether this system of records contains information about them should contact the system manager indicated above. 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 filing Form 5500EZ filings.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

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

Office of Small Business Programs, Small Entity Inquiry and Complaint Tracking System.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

U.S. Department of Labor, Office of Small Business Programs, Frances Perkins Building, 200 Constitution Ave., NW, Room C-2318, Washington, DC 20210.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Individuals who make oral or written complaints about, or requests or inquiries concerning, enforcement activities under the Small Business Regulatory Enforcement Fairness Act of 1996 (SBREFA) of the U.S. Department of Labor (Department).

CATEGORIES OF RECORDS IN THE SYSTEM:

Records include the name and address of the individuals making complaints, requests, or inquiries concerning enforcement activities of the Department of Labor, and any other information under SBREFA necessary to respond to the complaint or request.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Subtitles A and B of the Small Business Regulatory Enforcement Fairness Act of 1996 (SBREFA), Pub. L. 104-121, Title II, sec. 213, 110 Stat. 858-859; 5 U.S.C. Chapter 6.

PURPOSE(S):

Section 213 of Title II of Pub. L. 104-121 requires each agency to establish a program for providing informal guidance to small entities regulated by that agency. Section 213(c) requires the agency to report to Congress on "the scope of the agency's program, the number of small entities using the program, and the achievements of the program to assist small entity compliance with agency regulations." The records in this system are maintained for the purpose of complying with the above statutory requirements.

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 records may be disclosed to the Small Business Administration (SBA) in response to a referral from the SBA of a complaint filed against this Department by a small entity.

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 electronically.

RETRIEVABILITY:

Name or Control Number.

SAFEGUARDS:

Accessed by authorized personnel only. Passwords are used for the data, which is electronically stored.

RETENTION AND DISPOSAL:

Five years after case is closed.

SYSTEM MANAGER(S) AND ADDRESS:

Director, Office of Small Business Programs, U.S. Department of Labor, 200 Constitution Ave., NW, Washington, DC 20210.

NOTIFICATION PROCEDURES:

Mail all inquiries or present in writing to System Manager at above address.

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 of the complaint or incident.

CONTESTING RECORD PROCEDURES:

A petition for amendment shall be addressed to the system manager.

RECORD SOURCE CATEGORIES:

From the concerned individuals and entities.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

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

Department of Labor Advisory Committees Members Files.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Offices in various components within the Department of Labor, and also at the Office of Small Business Programs, U.S. Department of Labor, Frances Perkins Building, 200 Constitution Avenue, NW, Washington, DC 20210.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Present and former members of the advisory committees established by the Department of Labor and candidates for a position on an advisory committee.

CATEGORIES OF RECORDS IN THE SYSTEM:

Biographical information on individuals who are or have been members or are being considered for membership on the committees. Also, the biographical information on individuals who have been nominated for membership on advisory committees.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

5 U.S.C. 301.

PURPOSE(S):

To ensure that all appropriate personal records on advisory committee members, and nominees, are retained and are available for official use.

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

In addition to those universal routine uses listed in the General Prefatory Statement to this document, information in these records may be disclosed to the General Services Administration when necessary to comply with the Federal Advisory Committee Act.

DISCLOSURE TO CONSUMER REPORTING AGENCIES:

None.

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

Storage methods vary between program components, but the data will be stored either on magnetic media or in a manual file, both of which are secured at all times.

RETRIEVABILITY:

Retrieved by member name, nominee name or committee name, and via identification number if electronically maintained.

SAFEGUARDS:

Access is limited to authorized employees.

RETENTION AND DISPOSAL:

After a Committee terminates, its records are transferred to the National Archives and Records Administration for permanent retention.

SYSTEM MANAGER(S) AND ADDRESS:

The system manager is the Director, Office of Small Business Programs, U.S. Department of Labor, Frances Perkins Building, 200 Constitution Ave., NW, Washington, DC 20210.

NOTIFICATION PROCEDURE:

Mail all inquiries or present in writing to the system manager.

RECORD ACCESS PROCEDURES:

A request for access should be addressed to the system manager. The request should include the name of the Committee.

CONTESTING RECORD PROCEDURES:

Individuals wanting to contest or amend information maintained in this system should direct their written request to the system manager.

RECORD SOURCE CATEGORIES:

Individual members of the committees and those persons making nominations to the committee.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

DOL/SOL-3**SYSTEM NAME:**

Tort Claim Files.

SECURITY CLASSIFICATION:

Unclassified.

SYSTEM LOCATION:

Office of the Solicitor, Division of Employee Benefits, 200 Constitution Avenue, NW, Washington, DC 20210-0002; Offices of the Regional Solicitors and Associate Regional Solicitors at various field locations set forth in the Appendix.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Individuals filing claims for damages under the Federal Tort Claims Act.

CATEGORIES OF RECORDS IN THE SYSTEM:

Federal Tort Claim Act files, including claims forms and supporting documents filed by claimants, agency records, administrative reports and supporting documents prepared by the agency involved, internal memoranda, legal pleadings, decisions, and other documents received in connection with Federal Tort Claims Act administrative claims and litigation.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

28 U.S.C. 2671 *et seq.*

PURPOSE(S):

To maintain records necessary for adjudication of claims and defense of litigation filed under the Federal Tort Claims 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 contained in the General Prefatory Statement to this document, where an administrative claim or litigation under the Federal Tort Claims Act is filed with or involves allegations concerning more than one federal agency, relevant information in this system of records, including documents submitted in support of the administrative claim, may be disclosed to the relevant agency or agencies for their input and independent adjudication of the claim.

DISCLOSURE TO CONSUMER REPORTING AGENCIES:

None.

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

Manual files.

RETRIEVABILITY:

Name of claimant.

SAFEGUARDS:

Files are kept in office suites that are locked after working hours.

RETENTION AND DISPOSAL:

These records are maintained as long as a case is open. Upon conclusion of the matter, files are maintained for two years then transferred to the Federal Records Center for two years and then destroyed.

SYSTEM MANAGER(S) AND ADDRESS:

Associate Solicitor for Employee Benefits in Washington, DC, and Regional Solicitors and Associate Regional Solicitors in various locations in the field.

NOTIFICATION PROCEDURE:

See system managers and addresses.

RECORD ACCESS PROCEDURE:

To see your records, write to the office responsible for adjudicating your claim and describe as specifically as possible the records sought. The inquirer should furnish the following information:

- a. Full name and address
- b. Date and place of the incident or accident
- c. Claim number assigned to claim (if known)
- d. Signature

CONTESTING RECORD PROCEDURES:

See record access procedures.

RECORDS SOURCE CATEGORIES:

Claimants, current and former employers, witnesses, physicians and/or medical providers, insurance companies, attorneys, police, hospitals, and other persons.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

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

Workforce Investment Act Tort Claim Files.

SECURITY CLASSIFICATION:

Unclassified.

SYSTEM LOCATION:

Offices of the Regional Solicitors, U.S. Department of Labor.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Claimants.

CATEGORIES OF RECORDS IN THE SYSTEM:

Tort claims, including negligence, medical, personnel and legal reports, summaries, correspondence, and memoranda.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

29 U.S.C. 1501 *et seq.* and the Workforce Investment Act, 29 U.S.C. 2801 *et seq.*

PURPOSE(S):

To allow adjudication of claims filed under the Workforce Investment Act.

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 contained 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.

RETRIEVABILITY:

Name of claimant.

SAFEGUARDS:

Files are kept in office suite that is locked after working hours.

RETENTION AND DISPOSAL:

Upon completion of a case, the files are maintained in the Office of the Solicitor for two years, then retired to the appropriate Federal Records Center for three years and then destroyed.

SYSTEM MANAGER(S) AND ADDRESSES:

Regional Solicitors and Associate Regional Solicitors, U.S. Department of Labor. See the Appendix of this document for the regional addresses.

NOTIFICATION PROCEDURE:

See system manager(s) and addresses set forth in the Appendix to this document.

RECORD ACCESS PROCEDURES:

Inquirer should provide his or her full name, plus date and place of incident.

CONTESTING RECORD PROCEDURES:

See record access procedures.

RECORD SOURCE CATEGORIES:

Claimants, current and former employers, witnesses, physicians, insurance companies, attorneys, police, hospitals, other individuals.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

DOL/SOL-6**SYSTEM NAME:**

Military Personnel and Civilian Employees' Claims.

SECURITY CLASSIFICATION:

Unclassified.

SYSTEM LOCATION:

Office of the Solicitor, Division of Employee Benefits, 200 Constitution Avenue, NW, Washington, DC 20210-0002; Offices of the Regional Solicitors and Associate Regional Solicitors at various regional locations set forth in the Appendix to this document.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Current or former employees of the Department of Labor filing claims under the Military Personnel and Civilian Employees' Claims Act to recover for the loss of or damage to personal property incident to their service.

CATEGORIES OF RECORDS IN THE SYSTEM:

Claim files, including claim forms, accident, investigative, medical or personnel reports, witness statements, summaries, correspondence and memoranda.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

31 U.S.C. 240-243.

PURPOSE(S):

To maintain records necessary for adjudication of claims filed under the Military Personnel and Civilian Employees' Claims Act.

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 contained 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.

RETRIEVABILITY:

Name of claimant.

SAFEGUARDS:

Files are kept in office suites that are locked after working hours.

RETENTION AND DISPOSAL:

These records are maintained as long as the case is open in the office handling the claim. Upon conclusion of the matter, files are retained for two years and then transferred to the Federal Records Center for three years and then destroyed.

SYSTEM MANAGER(S) AND ADDRESS:

Associate Solicitor for Employee Benefits in Washington, DC, and

Regional Solicitors and Associate Regional Solicitors at various regional locations set forth in the Appendix to this document.

NOTIFICATION PROCEDURES:

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:

To see your records, write the office responsible for adjudicating your claim and describe as specifically as possible the records sought. The inquirer should furnish the following information:

- a. Full name and address
- b. Date and place of the loss
- c. Claim number assigned to claim (if known)
- d. Signature

CONTESTING RECORD PROCEDURE:

See Record Access Procedures.

RECORDS SOURCE CATEGORIES:

Claimants, current and former employers, witnesses, physicians and/or medical providers, insurance companies, attorneys, police, hospitals, and other persons.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

DOL/SOL-7**SYSTEM NAME:**

Solicitor's Legal Activity Recordkeeping System.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

The central database is maintained in the Office of the Solicitor (SOL), Office of Administration, Management, and Litigation Support, Washington, DC. Computer access terminals are located in SOL Divisional Offices in Washington, DC, and in all SOL Regional and Associate Regional Solicitors Offices. See the Appendix to this document for the regional office addresses.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Attorneys and paralegal specialists employed by SOL, judges assigned to DOL cases, and individuals and/or parties involved in the cases.

CATEGORIES OF RECORDS IN THE SYSTEM:

Individual attorney and paralegal specialist assignments, records which

identify pending cases and opinions requested, status of assignments, cases and opinions, statutes enforced, client agencies served, and time spent on assignments.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

5 U.S.C. 301.

PURPOSE(S):

To track the status of cases and other legal work, to manage attorney and paralegal specialist assignments, to track the time spent litigating cases and providing other legal services, to prepare budget submissions and to assist in allocating resources among Divisional and Regional Offices.

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

Selected data may be shared with the Office of Management and Budget (OMB) and Congress as part of the budget submission process.

DISCLOSURE TO CONSUMER REPORTING AGENCIES:

None.

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

Manual and computer files.

RETRIEVABILITY:

By initials of the SOL attorney or paralegal specialist, name of the judge, name or social security number of the individual involved, and/or the name of the party involved in a case.

SAFEGUARDS:

Manual and computer files are accessible only by authorized persons.

RETENTION AND DISPOSAL:

Records are retained for five years.

SYSTEM MANAGER(S) AND ADDRESS:

Director, Office of Administration, Management and Litigation Support/ Office of the Solicitor, 200 Constitution Avenue, NW, Washington, DC 20210.

NOTIFICATION PROCEDURES:

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

RECORD ACCESS PROCEDURE:

A request for access shall be mailed or presented to the system manager at the address listed above.

CONTESTING RECORD PROCEDURES:

A request for amendment should be addressed to the system manager noted above and must meet the requirements of 29 CFR 71.9.

RECORD SOURCE CATEGORIES:

Covered individuals, case files, correspondence files, opinion files and miscellaneous files.

SYSTEM EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

DOL/SOL-9**SYSTEM NAME:**

Freedom of Information Act and Privacy Act Appeal Files.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Office of the Solicitor, Division of Legislation and Legal Counsel, U.S. Department of Labor, 200 Constitution Avenue, NW, Washington, DC 20210.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

This system encompasses all individuals who submit administrative appeals under the Freedom of Information and Privacy Acts.

CATEGORIES OF RECORDS IN THE SYSTEM:

Each file generally contains the appeal letter, the initial request, the initial agency determination, and other records necessary to make a determination on the appeal, including copies of unsanitized records responsive to the request. When a determination is made on the appeal, the determination letter is added to the file.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

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

PURPOSE(S):

These records are maintained to process an individual's administrative appeal made under the provisions of the Freedom of Information and the Privacy Acts. The records are also used to prepare the Department's annual reports to OMB and Congress required by the Privacy and the Freedom of Information Acts.

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

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

a. To disclose information to Federal agencies (e.g., Department of Justice) in order to obtain advice and recommendations concerning matters on which the agency has specialized experience or competence, for use by the Office of the Solicitor in making

required appeal determinations and related dispositions under the Freedom of Information Act or the Privacy Act of 1974.

b. To disclose information to any source from which additional information is requested (to the extent necessary to identify the individual, inform the source of the purpose of the appeal, and to identify the type of information involved in an appeal), where necessary to obtain information relative to a decision concerning a Freedom of Information or Privacy Act appeal.

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

DISCLOSURE TO CONSUMER REPORTING AGENCIES:

None.

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

These records are maintained in manual form in file folders and are stored using the name of the individual filing the appeal. Information about the status of Freedom of Information and Privacy Act appeals is also maintained on magnetic media for use in a micro-computer.

RETRIEVABILITY:

Manual and the electronic records are retrieved by the name of the individual making the appeal. Electronic records are retrieved by the name of the appellant, the appellant's law firm, the original requester, the subject, the denying officer, the disposition date, and the case number.

SAFEGUARDS:

These records, are located in metal filing cabinets in a lockable room with access limited to personnel whose duties require access. The electronic records are located in a computer data base.

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:

Solicitor of Labor, U.S. Department of Labor, 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 address listed 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 of the Freedom of Information or Privacy Act Appeal and the approximate date of the determination by the Department (if issued).

CONTESTING RECORD PROCEDURES:

A petition for amendment shall be addressed to the System Manager and must meet the requirements of 29 CFR 71.9.

RECORD SOURCE CATEGORIES:

Information in this system of records comes from:

a. The individual who is the subject of the records.

b. Official personnel documents of the agency, including records from any other agency system or records included in this notice.

c. Agency officials who responded initially to the Freedom of Information and Privacy Act requests.

d. Other sources whom the agency believes have information pertinent to an agency decision on a Freedom of Information or Privacy Act appeal.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

The Department of Labor has claimed exemptions for several of its other systems of records under 5 U.S.C. 552a(k)(1), (2), (3), (5), and (6). During the course of processing a Freedom of Information or Privacy Act appeal, exempt materials from those other systems may become part of the case record in this system. To the extent that copies of exempt records from those other systems are entered into these Freedom of Information and Privacy Act appeals files, the Department has claimed the same exemptions for the records as they have in the original primary system or records of which they are a part.

DOL/SOL-13**SYSTEM NAME:**

Employee Conduct Investigations.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Offices in the Office of the Solicitor at the National Office and in each of the

Regional and Associate Regional Offices of the Solicitor.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Employee(s) against whom any allegations of misconduct have been made or violations of law.

CATEGORIES OF RECORDS IN THE SYSTEM:

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

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

5 U.S.C. 301.

PURPOSE(S):

To investigate allegations of misconduct or violations of law.

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

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

DISCLOSURE TO CONSUMER REPORTING AGENCIES:

None.

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

STORAGE:

Records are stored in file folders in metal cabinets.

RETRIEVABILITY:

By name or case file number.

SAFEGUARDS:

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

RETENTION AND DISPOSAL:

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

SYSTEM MANAGER(S) AND ADDRESS:

Office of Management, Office of the Solicitor, 200 Constitution Avenue, NW, Washington, DC 20210, and appropriate Regional Offices.

NOTIFICATION PROCEDURE:

Inquiries should be sent to the system manager noted at the address listed above.

RECORDS ACCESS PROCEDURES:

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

CONTESTING RECORD PROCEDURES:

A petition for amendment shall be addressed to the System Manager and must meet the requirements of 29 CFR 71.9.

RECORD SOURCE CATEGORIES:

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

SYSTEM EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

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

DOL/SOL-15

SYSTEM NAME:

Solicitor's Office Litigation Files.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Offices of the Associate Solicitors, Office of the Solicitor, Washington, DC; Offices of the Regional Solicitor and Associate Regional Solicitors at various locations.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Plaintiffs, defendants, respondents, witnesses and other individuals who

may have provided information relating to, or who may have been involved in matters that are part of Labor Department litigation, where the Department is either the plaintiff or the defendant.

CATEGORIES OF RECORDS IN THE SYSTEM:

The system contains records gathered by the various Offices of the Associate Solicitors, Regional Solicitors and Associate Regional Solicitors. The records may be derived from materials filed with the Department of Labor, court records, pleadings, statements of witnesses, information received from federal, state, local and foreign regulatory organizations and from other sources. The system also contains records that incorporate the work product of the various offices and other privileged documents.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

5 U.S.C. 301.

PURPOSE(S):

These records are maintained for the purpose of prosecuting violations of labor laws, as well as for defending law suits and claims brought against the Department of Labor.

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

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

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

STORAGE:

Litigation files are maintained in manual files.

RETRIEVABILITY:

By name.

SAFEGUARDS:

Files are kept in office suites which are locked after working hours.

RETENTION AND DISPOSAL:

Litigation files are maintained for two (2) years after final court determination, then transferred to the FRC where they are kept for an additional three (3) years and then destroyed.

However:

SIGNIFICANT LITIGATION FILES IN THE CIVIL RIGHTS DIVISION:

Cases which (1) resulted in a major legal precedent, or (2) involved a complex and/or novel issue, or (3) involved intense public interest or controversy that usually is reflected in a high degree of media attention are retained permanently.

Litigation files involving OSHA:

OSHA litigation files are destroyed one year after all rights of appeals have expired.

Matters in which the Department obtained an injunction are maintained in SOL for two years after the matter is closed and then transferred to the FRC for twenty (20) years and then destroyed. Briefs and significant motions are retained in the office for twenty (20) years and then destroyed.

FREEDOM OF INFORMATION ACT AND PRIVACY ACT LITIGATION FILES:

Files are maintained for six years after final agency action or three (3) years after final court determination, whichever is later.

BLACK LUNG FILES:

Files for cases before the Administrative Law Judges are maintained for one (1) year after the case is closed and then destroyed. Cases adjudicated before the Benefit Review Board are maintained for two (2) years after the final decision is issued and then destroyed. Court of Appeal and Supreme Court cases are maintained for five years after the final decision is issued and then destroyed.

SYSTEM MANAGER(S) AND ADDRESS:

The appropriate Associate Solicitor or the Regional Solicitor or Associate Regional Solicitor, Office of the Solicitor, U.S. Department of Labor, Room S-2002, 200 Constitution Avenue, NW, Washington, DC 20210.

NOTIFICATION PROCEDURES:

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

RECORD ACCESS PROCEDURES:

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

- a. Name.
- b. Approximate date for the investigation.

CONTESTING RECORD 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:

Component agency investigative files; investigators; other law enforcement personnel; attorneys; witnesses, informants; other individuals; federal, states and local agencies; opinion files; miscellaneous files.

SYSTEM EXEMPTED FROM CERTAIN PROVISION OF THE ACT:

Under the specific exemption authority provided by 5 U.S.C. 552a(k)(2), this system is exempt from the following provisions of the Privacy Act: 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H), (I), and (f) of the Act. Disclosure of information could enable the subject of the record to take action to escape prosecution and could avail the subject greater access to information than that already provided under rules of discovery. In addition, disclosure of information might lead to intimidation of witnesses, informants, or their families, and impair future investigations by making it more difficult to collect similar information.

DOL/SOL-17**SYSTEM NAME:**

Solicitor's Office Equipment Files.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Office of the Solicitor, Office of Administration, Management & Litigation Support (OAMLS), U.S. Department of Labor, 200 Constitution Avenue, NW, Washington, DC 20210.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

All employees from the Office of the Solicitor both those from the National and the Regional Offices of the Solicitor.

CATEGORIES OF RECORDS IN THE SYSTEM:

The system contains detailed records pertaining to the chairs, desks, and other furniture, and equipment assigned to each employee from the Office of the Solicitor, including National and Regional Offices.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

5 U.S.C. 301.

PURPOSE(S):

The information is used for statistical data and to prepare purchase orders for furniture, equipment and accessories. The information is also used to track items assigned to individuals within the Solicitor's Office.

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

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

DISCLOSURE REPORTING AGENCIES:

None.

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

The records are maintained in file folders and in computers.

RETRIEVABILITY:

Records are retrieved by the name of the employee.

SAFEGUARDS:

These records are kept in office suites which are locked after working hours.

RETENTION AND DISPOSAL:

The system is updated annually and earlier records are destroyed.

SYSTEM MANAGER(S) AND ADDRESS:

Director, Office of Administration, Management & Litigation Support, U.S. Department of Labor, 200 Constitution Avenue, NW, Washington, DC 20210.

NOTIFICATION PROCEDURES:

Inquiries should be directed to the system manager noted at the address listed above.

RECORD ACCESS PROCEDURES:

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

- a. Name.
- b. Individuals requesting access must also comply with the Privacy Act regulations regarding verification of identity to records at 29 CFR 71.4.

CONTESTING RECORD 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:

Agency personnel files, information submitted by the employee, and records from the Office of Administration, Management and Litigation Support.

SYSTEM EXEMPTED FROM CERTAIN PROVISION OF THE ACT:

None.

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

Uniformed Services Employment and Reemployment Rights Act (USERRA) Complaint File.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Veterans' Employment and Training Service (VETS') State Offices, Regional Offices, and National Office.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Complainants who are veterans, enlistees, examinees, reservists or members of the National Guard of the U.S. Armed Forces on active or reserve service or training duty, and other complainants.

CATEGORIES OF RECORDS IN THE SYSTEM:

The system of records contains data related to civil investigations which include: Initial investigative complaint form, background, investigators' fact finding records, witness statements, supporting documents provided by claimants and employers, other information relevant to a determination of veterans reemployment rights.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

38 U.S.C. 4301 et seq.

PURPOSE(S):

Records are maintained for enforcement of federal laws pertaining to rights of veterans, reservists and members of the National Guard upon their return to pre-military civilian employment following periods of active and inactive military duty and related to non-discrimination based on such service or periods of duty.

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, relevant records and information may be disclosed to the employer against whom a complaint has been made so that the complaint can proceed to a resolution. Disclosure may also be made when relevant and necessary to the Department of Veterans Affairs, to the Department of Defense, to the Department of Justice, and to the Office of Special Counsel when complaints have proceeded to an advanced stage.

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

Electronic and manual records.

RETRIEVABILITY:

By name of complainant or name of employer.

SAFEGUARDS:

Locked room or locked cabinets, and passwords for electronic system.

RETENTION AND DISPOSAL:

Cutoff and removal from active file in fiscal year when litigation is completed, transfer to Federal Records Center five

(5) years after cutoff. Destroy when ten (10) years old.

SYSTEM MANAGER(S) AND ADDRESS:

Chief of Investigations and Compliance, United States Department of Labor, Veterans' Employment and Training Service, 200 Constitution Avenue, NW, Washington, DC 20210.

NOTIFICATION PROCEDURES:

Inquiries should be directed to the system manager noted at the address listed above.

RECORD ACCESS PROCEDURES:

A request for access shall be addressed to the systems 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 of separation.

CONTESTING RECORD PROCEDURES:

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

RECORD SOURCE CATEGORIES:

Veterans, Reserve and National Guard members, employees, employers, former employees, Departments of Defense, Department of Veterans Affairs, physicians, union officers and maybe the public.

SYSTEMS EXEMPTIONS 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/VETS-2**SYSTEM NAME:**

Veterans' Preference Complaint File under the Veterans Equal Opportunities Act of 1998 (VEOA).

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Veterans' Employment and Training Service (VETS') State Offices, Regional Offices, and National Office.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Veterans of the U.S. Armed Forces who believe that they have been denied veterans preference or other special considerations provided by law(s).

CATEGORIES OF RECORDS IN THE SYSTEM:

The system of records contains materials related to civil investigations which include: Initial investigative complaint form, background, investigators' fact finding records, witness statements, supporting documents provided by claimants and employers, other information relevant to a determination of veterans preference consideration related to employment with Federal agencies.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

5 U.S.C. 3330a.

PURPOSE(S):

Records are maintained for investigation of possible violations of federal laws pertaining to veterans' preference and other special consideration related to employment with Federal agencies.

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

In addition to those universal routine uses listed in the General Prefatory Statement, records and information may be disclosed to the Federal employing agency against whom a complaint has been made so that the complaint can proceed to a conclusion. Disclosure of information that is relevant and necessary may also be made to the Office of Personnel Management and to the Merit Systems Protection Board.

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

Electronic and manual records.

RETRIEVABILITY:

By name of complainant or name of Federal agency.

SAFEGUARDS:

Secured room, or locked cabinets, and passwords for electronic system.

RETENTION AND DISPOSAL:

Cutoff and removed from active file in fiscal year when litigation is completed. Transferred to Federal Records Center five (5) years after cutoff. Destroy when ten (10) years old.

SYSTEM MANAGER(S) AND ADDRESS:

Chief of Investigations and Compliance, United States Department of Labor, Veterans' Employment and Training Service, 200 Constitution Avenue, NW, Washington, DC 20210.

NOTIFICATION PROCEDURES:

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

RECORD ACCESS PROCEDURES:

A request for access shall be addressed to the systems 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 of separation.

CONTESTING RECORD PROCEDURES:

A petition for amendment shall be addressed to the System Manager and must meet the requirements of 29 CFR 71.9.

RECORD SOURCE CATEGORIES:

Veterans, Federal employment applicants or employing Federal agencies, former agency employees, Department of Defense, Department of Veterans Affairs, Office of Personnel Management, union officers and members of the public.

SYSTEMS EXEMPTIONS 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/VETS-3**SYSTEM NAME:**

Veterans' Transition Assistance Program (TAP) Registration System.

SECURITY CLASSIFICATION:

None

SYSTEM LOCATION:

Veterans' Employment and Training Service (VETS) State Directors' Offices, Regional Offices, National Office.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Service members, and their spouses, for 180 days after separation of the servicemember from the U.S. Armed Forces.

CATEGORIES OF RECORDS IN THE SYSTEM:

Registration data on participants in the Transition Assistance Program (TAP) workshops including the name, address, social security number, and duty station.

AUTHORITY FOR MAINTENANCE OF SYSTEM:

10 U.S.C. 1144.

PURPOSE(S):

Records are maintained to house achievement levels in TAP Program workshops, develop demographic data, and research programs effectiveness.

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 records and information may be made to the Department of Defense, Department of Transportation, and to the Department of Veterans Affairs so that they may they assist the TAP participant by sharing information.

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

Electronic and manual records.

RETRIEVABILITY:

By name, state, military base, or VETS region.

SAFEGUARDS:

Locked room or locked cabinets, and passwords for electronic system.

RETENTION AND DISPOSAL:

Records are transferred to the Federal Records Center three years after the end of the fiscal year when they were created, and they are destroyed ten years thereafter.

SYSTEM MANAGER(S) AND ADDRESS:

Director of Operations and Programs, United States Department of Labor, Veterans' Employment and Training Service, Room, 200 Constitution Avenue, NW, Washington, DC 20210, and Regional Offices.

NOTIFICATION PROCEDURES:

Inquiries should be mailed or presented to the appropriate system manager listed above.

RECORD ACCESS PROCEDURES:

A request for access shall be addressed to the systems 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 of separation.

CONTESTING RECORD PROCEDURES:

A petition for amendment shall be addressed to the System Manager and must meet the requirements of 29 CFR 71.9.

RECORD SOURCE CATEGORIES:

Participants in TAP workshops.

SYSTEMS EXEMPTIONS FROM CERTAIN PROVISIONS OF THE ACT:

None.

Appendix—Responsible Officials**National Office**

The titles of the responsible officials of the various component agencies in the Department of Labor are listed below. This list is provided for information and to assist requesters in locating the office most likely to have responsive records. The officials may be changed by appropriate designation. Unless otherwise specified, the mailing addresses of the officials shall be: U.S. Department of Labor, 200 Constitution Avenue, NW, Washington, DC 20210.

Office of the Secretary

Secretary of Labor, *ATTENTION:* Assistant Secretary for Administration and Management (OASAM)

Office of the Solicitor

Deputy Solicitor, Office of the Solicitor

Office of the Administrative Law Judges (OALJ)

Chief Administrative Law Judge, Office of Administrative Law Judges, OALJ
Legal Counsel, OALJ

The mailing address for the Office of Administrative Law Judges is: Chief, Office of Administrative Law Judges, 800 K Street, NW., Suite N-400, Washington, DC 20001-8002.

Office of the Assistant Secretary of Administration and Management (OASAM)

Assistant Secretary for Administration and Management, OASAM
Deputy Assistant Secretary for Administration and Management, OASAM
Director, Business Operations Center, OASAM
Director, Procurement Service Center, OASAM
Director, Civil Rights Center, OASAM
Director, Human Resources Center, OASAM
Director, Information Technology Center, OASAM

Director, Worklife Center, OASAM
 Director, Human Resource Services Center, OASAM
 Director, Office of Budget, OASAM
 Director, Conference and Services Center, OASAM
 Director, Safety and Health Center, OASAM
Office of the Chief Financial Officer (OCFO)
 Chief Financial Officer, OCFO
Office of Small Business Programs
 Director, Office of Small Business Programs
Employees' Compensation Appeals Board (ECAB)
 Chairperson, Employees' Compensation Appeals Board, ECAB
 Associate Deputy Secretary for Adjudication
 Executive Director, Office of Adjudicatory Services
Administrative Review Board (ARB)
 Chairperson, Administrative Review Board, ARB
Benefits Review Board (BRB)
 Chief Administrative Appeals Judge, Benefits Review Board, BRB
 Director, Women's Bureau, Office of the Secretary
Office of Congressional and Intergovernmental Affairs (OCIA)
 Assistant Secretary, Office of Congressional and Intergovernmental Affairs, OCIA
 Deputy Assistant Secretary, OCIA
Office of the Assistant Secretary for Policy (ASP)
 Assistant Secretary for Policy, ASP
 Deputy Assistant Secretary, ASP
Office of the Assistant Secretary for Public Affairs (OPA)
 Assistant Secretary, Office of Public Affairs, OPA
 Deputy Assistant Secretary, OPA
Administrative Review Board (ARB)
 Director, Office of Administrative Review Board, ARB
Office of the Inspector General (OIG)
 Disclosure Officer, OIG
Bureau of International Labor Affairs (ILAB)
 Deputy Under Secretary, ILAB
 Associate Deputy Under Secretary, ILAB
 Secretary of the National Administrative Office, ILAB
Employment Standards Administration (ESA)
 Assistant Secretary for Employment Standards, ESA
 Director, Equal Employment Opportunity Unit, ESA
 Director, Office of Management, Administration and Planning (OMAP), ESA
 Director, Division of Human Resources Management, OMAP, ESA
 Director, Division of Legislative and Regulatory Analysis, OMAP, ESA
 Director, Office of Workers' Compensation Programs (OWCP), ESA
 Special Assistant to the Director, OWCP, ESA
 Director, Division of Planning, Policy and Standards, OWCP, ESA
 Director for Federal Employees' Compensation, OWCP, ESA
 Director for Longshore and Harbor Workers' Compensation, OWCP, ESA
 Director for Coal Mine Workers' Compensation, OWCP, ESA
 Administrator, Wage and Hour Division, ESA
 Deputy Administrator, Wage and Hour Division, ESA
 National Office Program Administrator, Wage and Hour Division, ESA
 Deputy National Office Program Administrator, Wage and Hour Division, ESA
 Director, Office of Enforcement Policy, Wage and Hour Division, ESA
 Deputy Director, Office of Enforcement Policy, Wage and Hour Division, ESA
 Director, Office of Planning and Analysis, Wage and Hour Division, ESA
 Director, Office of Wage Determinations, Wage and Hour Division, ESA
 Director, Office of External Affairs, Wage and Hour Division, ESA
 Director, Office of Quality and Human Resources, Wage and Hour Division, ESA
 Deputy Assistant Secretary for Federal Contract Compliance Programs (OFCCP), ESA
 Deputy Director, Office of Federal Contract Compliance Programs, OFCCP, ESA
 Director, Division of Policy, Planning and Program Development, OFCCP, ESA
 Deputy Director, Division of Policy, Planning and Program Development, OFCCP, ESA
 Director, Division of Program Operations, OFCCP, ESA
 Deputy Director, Division of Program Operations, OFCCP, ESA
 Director, Division of Management and Administrative Programs, OFCCP, ESA
 Deputy Assistant Secretary for Labor-Management Programs, (OLMS), ESA
Employment and Training Administration (ETA)
 Assistant Secretary of Labor, ETA
 Deputy Assistant Secretary of Labor, ETA
 Administrator, Office of Financial and Administrative Management, ETA
 Director, Office of Financial and Administrative Services, ETA
 Director, Office of Human Resources, ETA
 Director, Divisions of Federal Assistance and Contract Services, ETA
 Administrator, Office of Policy and Research, ETA
 Director, Office of Grants and Contracts Management, ETA
 Administrator, Office of Technology and Information Services, ETA
 Administrator, Office of Workforce Security, ETA
 Director, Office of Income Support, ETA
 Director, Office of Career Transition Assistance, ETA
 Director, Division of U.S. Employment Service and Americans Labor Information Market System (ALMIS)
 Chief, Division of Foreign Labor Certifications, ETA
 Administrator, Office of Adult Services, ETA
 Director Office of National Programs, ETA
 Director, Division of Systems Support, ETA
 Director, Office of Adults, Dislocated Workers and Trade Adjustment Assistance, ETA
 Director, Division of Trade Adjustment Assistance, ETA
 Administrator, Office of Youth Services, ETA
 Director, Office of Youth Opportunities, ETA
 Director, Office of School to Work, ETA
 Director, Office of Job Corps, ETA
 Director, Office of Apprenticeship Training, Employer and Labor Services, ETA
 Director, Office of Equal Employment Opportunity, ETA
Occupational Safety and Health Administration (OSHA)
 Assistant Secretary, OSHA
 Director, Office of Public Affairs, OSHA
 Director, Directorate of Construction, OSHA
 Director, Directorate of Federal-State Operations, OSHA
 Director, Directorate of Policy, OSHA
 Director, Directorate of Administrative Programs, OSHA
 Director, Personnel Programs, OSHA
 Director, Office of Administrative Services, OSHA
 Director, Office of Management Data Systems, OSHA
 Director, Office of Management Systems and Organization, OSHA
 Director, Office of Program Budgeting, Planning and Financial Management, OSHA
 Director, Directorate of Compliance Programs, OSHA
 Director, Directorate of Technical Support, OSHA
 Director, Directorate of Safety Standards Programs, OSHA
 Director, Directorate of Health Standards Programs, OSHA
 Director, Office of Statistics, OSHA
Pension and Welfare Benefits Administration (PWBA)
 Director, Office of Participant Assistance and Communications, PWBA
Office of the Assistant Secretary for Veterans' Employment and Training (VETS)
 Assistant Secretary, VETS
 Deputy Assistant Secretary, VETS
 Director, Office of Operations and Programs, VETS
 Director, Office of Agency Management and Budget, VETS
 Disclosure Officer, VETS
Bureau of Labor Statistics (BLS)
 Commissioner, BLS
 Associate Commissioner, Office of Administration, BLS
 The mailing address for responsible officials in the Bureau of Labor Statistics is: Rm. 4040—Postal Square Bldg., 2 Massachusetts Ave., NE, Washington, DC 20212-0001.
Mine Safety and Health Administration (MSHA)
 Assistant Secretary, MSHA
 Deputy Assistant Secretary, MSHA
 Chief, Office of Congressional and Legislative Affairs, MSHA
 Chief, Office of Information and Public Affairs, MSHA

Director of Administration and Management, MSHA
 Administrator, Coal Mine Safety and Health (CMS&H), MSHA
 Chief, Technical Compliance & Investigation Division, CMS&H, MSHA
 Chief, Health Division, CMS&H, MSHA
 Chief, Safety Division, CMS&H, MSHA
 Accident Investigation Program Manager, CMS&H, MSHA
 Administrator, Metal and Nonmetal Mine Safety and Health (M/NM), MSHA
 Chief, Technical Compliance & Investigation Division, M/NM, MSHA
 Chief, Health Division, M/NM, MSHA
 Chief, Safety Division, M/NM, MSHA
 Accident Investigation Program Manager, M/NM, MSHA
 Director of Assessments, MSHA
 Director of Technical Support, MSHA
 Director of Educational Policy and Development, MSHA
 Director of Standards, Regulations, and Variances, MSHA
 Director of Program Evaluation and Information Resources, MSHA
 The mailing address for the responsible officials in the Mine Safety and Health Administration (MSHA) is: 4015 Wilson Boulevard, Arlington, Virginia 22203.

Regional Offices

The titles of the responsible officials in the regional offices of the various component agencies are listed below: Unless otherwise specified, the mailing address for these officials by region, shall be:

Region I

U.S. Department of Labor, John F. Kennedy Federal Building, Boston, Massachusetts 02203 (For Wage and Hour only: Contact Region III)

Region II

201 Varick Street, New York, New York 10014 (For Wage and Hour only: Contact Region III)

Region III

The Curtis Center, 170 South Independence Mall West, Suite 825 East, Philadelphia, Pennsylvania 19106-3315

Region IV

U.S. Department of Labor, Atlanta Federal Center, 61 Forsyth Street, SW, Atlanta, Georgia 30303
 (OWCP Only) 214 N. Hogan Street, Suite 1006, Jacksonville, Florida 32202

Region V

Kluczynski Federal Building, 230 South Dearborn Street, Chicago, Illinois 60604 (FEC only) 1240 East Ninth Street, Room 851, Cleveland, Ohio 44199

Region VI

525 Griffin Square Building, Griffin & Young Streets, Dallas, Texas 75202

Region VII

City Center Square Building, 1100 Main Street, Kansas City, Missouri 64105-2112 (For Wage and Hour only: Contact Region V)

(OFCCP only) 801 Walnut Street, Room 200, Kansas City, Missouri 64106

Region VIII

1999 Broadway Street, Denver, Colorado 80202, (For Wage and Hour and OFCCP: Contact Region VI)

(OWCP only) 1801 California Street, Suite 915, Denver, Colorado 80202

The mailing address for the Regional Director, Bureau of Apprenticeship and Training in Region VIII is: U.S. Custom House, 721-19th Street, Room 465, Denver, CO. 80202.

Region IX

71 Stevenson Street, San Francisco, California 94105

Region X

1111 Third Avenue, Seattle, Washington 98101-3212 (For Wage and Hour only: Contact Region IX)

Regional Administrator for Administration and Management (OASAM)

Regional Personnel Officer, OASAM

Regional Director for Information and Public Affairs, OASAM

Regional Administrator for Occupational Safety and Health and Safety (OSHA)

Regional Commissioner, Bureau of Labor Statistics (BLS)

Regional Administrator for Employment and Training Administration (ETA) (For the following regions: Boston, New York, Philadelphia, Atlanta, Dallas, Chicago and San Francisco)

Associate Regional Administrator for ETA (For the following regions: Denver, Kansas City and Seattle)

Regional Director, Job Corps, ETA
 Director, Regional Office of Apprenticeship and Training, Employer and Labor Services, ETA

Regional Administrator for Wage and Hour, ESA

Regional Director for Federal Contract Compliance Programs, ESA

Regional Director for the Office of Workers' Compensation Programs, ESA

District Director, Office of Workers' Compensation Programs, ESA

Office of Federal Contract Compliance Programs ESA, Responsible Offices, Regional Offices

JFK Federal Building, Room E-235, Boston, Massachusetts 02203

201 Varick Street, Room 750, New York, New York 10014

The Curtis Center, 170 South Independence Mall West, Philadelphia, Pennsylvania 19106-3315

61 Forsyth Street, S.W., Suite 7B75, Atlanta, Georgia 30303

Kluczynski Federal Building, 230 South Dearborn Street, Room 570, Chicago, Illinois 60604

Federal Building, 525 South Griffin Street, Room 840 Dallas, Texas 75202

71 Stevenson Street, Suite 1700, San Francisco, California 94105-2614

1111 Third Avenue, Suite 610, Seattle, Washington 98101-3212

Office of Workers' Compensation Programs ESA: Responsible Officials, District Directors

John F. Kennedy Federal Building, Room E-260, Boston, Massachusetts 02203 (FECA and LHWCA Only)

201 Varick Street, Seventh Floor, Room 750, New York, New York 10014 (FECA and LHWCA only)

The Curtis Center, 170 South Independence Mall West, Suite 790 West, Philadelphia, Pennsylvania 19106-3313 (FECA and LHWCA only)

Penn Traffic Building, 319 Washington Street, Johnstown, Pennsylvania 15901 (BLBA only)

105 North Main Street, Suite 100, Wilkes-Barre, Pennsylvania 18701 (BLBA Only)

Wellington Square, 1225 South Main Street, Suite 405, Greensburg, Pennsylvania 15601 (BLBA only)

300 West Pratt Street, Suite 240, Baltimore, Maryland 21201 (LHWCA Only)

Federal Building, 200 Granby Mall, Room #212, Norfolk, Virginia 23510 (LHWCA only)

500 Quarrier Street, Suite 110, Charleston, West Virginia 25301 (BLBA Only)

425 Juliana Street, Suite 3116, Parkersburg, West Virginia 26101 (BLBA Only)

800 North Capitol Street, NW., Washington, DC 20211 (FECA Only)

77 P Street, NE., 2nd Floor, Washington, DC 20002 (LHWCA Only)

1200 Upshur Street, NW., Washington, DC 20210 (DC Claims Only)

164 Main Street, Suite 508, Pikeville Kentucky 41501 (BLBA only)

500 Springdale Plaza, Spring Street, Mt. Sterling, Kentucky 40353 (BLBA Only)

214 N. Hogan Street, 10th Floor, Room 1006, Jacksonville, Florida 32201 (FECA and LHWCA only)

230 South Dearborn Street, Room 578, Chicago, Illinois 60604 (FECA and LHWCA)

1240 East 9th Street, Room 851, Cleveland, Ohio 44199 (FECA Only)

1160 Dublin Road, Suite 300, Columbus, Ohio 43214 (BLBA Only)

525 Griffin Street, Federal Building Dallas, Texas 75202 (FECA Only)

701 Loyola Avenue, Room 13032, New Orleans, Louisiana 70113 (LHWCA Only)

8866 Gulf Freeway, Suite 140, Houston, Texas 77017 (LHWCA Only)

City Center Square, Suite 750, 1100 Main Street, Kansas City, Missouri 64105 (FECA Only)

1801 California Street, Suite 915, Denver, Colorado 80202 (FECA and BLBA Only)

71 Stevenson Street, 2nd Floor, P.O. Box 193770, San Francisco, California 94105 (LHWCA and FECA Only)

401 E. Ocean Boulevard, Suite 720, Long Beach, California 90802 (LHWCA Only)

300 Ala Moana Boulevard, Room 5119, Honolulu, Hawaii 96850 (LHWCA Only)

1111 3rd Avenue, Suite 615, Seattle, Washington 98101-3212 (LHWCA and FECA only)

Mine Safety & Health Administration Field Offices And Responsible Officials

Coordinator, Small Mines/Mine Emergency Unit

- Superintendent, National Mine Health and Safety Academy, 1301 Airport Road, Beaver, WV 25813-9426
- Chief, Safety and Health Technology Center, P.O. Box 18233, Pittsburgh, PA 15236
- Chief, Approval and Certification Center, R.R. 1, Box 251, Industrial Park Road, Triadelphia, WV 26059
- Chief, Information Resource Center
- Chief, Office of Injury and Employment Information, P.O. Box 25367, Denver, CO 80225-0367
- District Manager, Coal Mine Safety and Health*
- The Stegmaier Bldg., Suite 034, 7 N. Wilkes-Barre Blvd., Wilkes-Barre, PA 18702
- R.R. 1, Box 736, Hunker, PA 15639
- 5012 Mountaineer Mall, Morgantown, WV 26505
- 100 Bluestone Road, Mt. Hope, WV 25880
- P.O. Box 560, Norton, VA 24273
- 4159 North Mayo Trail, Pikeville, KY 41501
- HC 66, Box 1699, Barbourville, KY 40906
- Suite 200, 2300 Old Decker Road, Vincennes, IN 47591
- P.O. Box 25367, Denver, CO 80225-0367
- 100 YMCA Drive, Madisonville, KY 42431-9019
- Suite 213, 135 Gemini Circle Birmingham, AL 35209
- District Manager, Metal and Nonmetal Mine Safety and Health*
- Assistant District Manager, Metal and Nonmetal Mine Safety and Health:
- Thornhill Industrial Park, 547 Keystone Drive, Suite 4, Warrendale, PA 15086-7573
- Suite 212, 135 Gemini Circle, Birmingham, AL 35209
- Suite 333, 515 W. First Street, Duluth, MN 55802-1302
- Rm. 4C50, 1100 Commerce Street, Dallas, TX 75242-0499
- P.O. Box 25367, Denver, CO 80225-0367
- 2060 Peabody Road, Suite 610, Vacaville, CA 95687-6696
- Regional Administrator, Occupational Safety and Health Administration (OSHA)**
- Area Director, OSHA:*
- Valley Office Park, 13 Branch Street, Methuen, MA 01844
- 639 Granite Street, 4th Floor, Braintree, MA 02184
- 1441 Main Street, Room 550, Springfield, MA 01103-1493
- One Lafayette Square, Suite 202, Bridgeport, CT 06604
- Federal Building, 450 Main Street, Room 613, Hartford, CT 06103
- 40 Western Avenue, Room 608, Augusta, ME 04330
- 202 Harlow Street, Room 211, Bangor, ME 04401
- 279 Pleasant Street, Suite 201, Concord, NH 03301
- Federal Office Building, 380 Westminster Mall, Room 243, Providence, RI 02903
- 401 New Karner Road, Suite 300, Albany, NY 12205-3809
- 42-40 Bell Boulevard, Bayside, NY 11361
- 5360 Genesee Street, Bowmansville, NY 14026
- 1400 Old Country Road, Suite 208, Westbury, NY 11590
- 201 Varick Street, Room 670, New York, NY 10048
- 3300 Vickery Road, North Syracuse, NY 13212
- 660 White Plains Road, 4th Floor, Tarrytown, NY 10591-5107
- 1030 St. Georges Avenue, Plaza 35, Suite 205, Avenel, NJ 07001
- 500 Route 17 South, 2nd Floor, Hasbrouck Heights, NJ 07604
- 299 Cherry Hill Road, Suite 304, Parsippany, NJ 07054
- Marlton Executive Park, Building 2, 701 Route 73 South, Suite 120, Marlton, NJ 08053
- BBV Plaza Building, 1510 F.D. Roosevelt Avenue, Guaynabo, PR 00968
- 850 North 5th Street, Allentown, PA 18102
- 3939 West Ridge Road, Suite B12, Erie, PA 16506-1857
- Progress Plaza, 49 North Progress Avenue, Harrisburg, PA 17109-3596
- U.S. Custom House, Room 242, Second & Chestnut Street, Philadelphia, PA 19106
- Federal Office Building, 1000 Liberty Avenue, Room 1428, Pittsburgh, PA 15222-4101
- The Stegmaier Building, Suite 410, 7 North Wilkes-Barre Boulevard, Wilkes-Barre, PA 18702-5241
- 844 North King Street—Room 2209, Wilmington, DE 19801
- 1099 Winterson Road, Suite 140, Linthicum, MD 21090
- Federal Office Building, 200 Granby Street, Room 835, Norfolk, VA 23510-1811
- 405 Capitol Street, Suite 407, Charleston, WV 25301-1727
- LaVista Perimeter Office Park, 2183 N. Lake Parkway, Building 7, Suite 110, Tucker, GA 30084-4154
- 2400 Herodian Way, Suite 250, Smyrna, GA 30080-2968
- 450 Mall Boulevard, Suite J, Savannah, GA 31406
- 2047 Canyon Road—Todd Mall, Birmingham, AL 35216-1981
- 3737 Government Boulevard, Suite 100, Mobile, AL 36693-4309
- 8040 Peters Road, Building H-100, Fort Lauderdale, FL 33324
- Ribault Building, Suite 227, 1851 Executive Center Drive, Jacksonville, FL 32207
- 5807 Breckenridge Parkway, Suite A, Tampa, FL 33610-4249
- John C. Watts Federal Office Building, 330 West Broadway, Room 108, Frankfort, KY 40601-1922
- 3780 I-55 North, Suite 210, Jackson, MS 39211-6323
- Century Station Federal Office Building, 300 Fayetteville Street Mall, Room 438, Raleigh, NC 27601-9998
- 1835 Assembly Street, Room 1468, Columbia, SC 29201-2453
- 2002 Richard Jones Road, Suite C-205, Nashville, TN 37215-2809
- 1600 167th Street, Suite 12, Calumet City, IL 60409
- O'Hara Lake Plaza, 2360 East Devon Avenue, Suite 1010, Des Plaines, IL 60018
- 11 Executive Drive, Suite 11, Fairview Heights, IL 62208
- 344 Smoke Tree Business Park, North Aurora, IL 60542
- 2918 W. Willow Knolls Road, Peoria, IL 61614
- 46 East Ohio Street, Room 423, Indianapolis, IN 46204
- Lansing Area Director, 801 South Waverly Road, Suite 306, Lansing, MI 48917-4200
- 300 South 4th Street, Room 1205, Minneapolis, MN 55415
- 36 Triangle Park Drive, Cincinnati, OH 45246
- Federal Office Building, 1240 East 9th Street, Room 899, Cleveland, OH 44199
- Federal Office Building, 200 North High Street, Room 620, Columbus, OH 43215
- Ohio Building, 420 Madison Avenue, Suite 600, Toledo, OH 43604
- Federal Building, U.S. Courthouse 500, Barstow Street, Room B-9, Eau Claire, WI 54701
- 1648 Tri Park Way, Appleton, WI 54914
- 4802 E. Broadway, Madison, WI 53716
- Henry S. Reuss Building, 310 W. Wisconsin Ave, Suite 1180, Milwaukee, WI 53202
- 903 San Jacinto Boulevard, Suite 319, Austin, TX 78701
- Wilson Plaza, 606 N. Carancahua, Suite 700, Corpus Christi, TX 78476
- 834 East R.L. Thornton Freeway, Suite 420, Dallas, TX 75228
- 700 East San Antonio Street, Room C408, El Paso, TX 79901
- North Starr II, Suite 430, 8713 Airport Freeway, Fort Worth, TX 76180-7604
- 350 N. Sam Houston Parkway, Suite 120, Houston, TX 77060
- 17625 El Camino Real, Suite 400, Houston, TX 77058
- Federal Office Building, 1205 Texas Avenue, Room 804, Lubbock, TX 79401
- TCBY Building, Suite 450, 425 West Capitol Avenue, Little Rock, AR 72201
- 9100 Bluebonnet Centre Boulevard, Suite 201, Baton Rouge, LA 70809
- Western Bank Building, Suite 820, 505 Marquette, NW., Albuquerque, NM 87102
- 420 West Main, Suite 300, Oklahoma City, OK 73102
- 6200 Connecticut Avenue, Suite 100, Kansas City, MO 64120
- 911 Washington Avenue, Room 420, St. Louis, MO 63101
- 210 Walnut Street, Room 815, Des Moines, IA 50309
- 8600 Farley—Suite 105, Overland Park, KS 66212
- 300 Epic Center, 301 North Main, Wichita, KS 67202
- Overland—Wolf Building, 6910 Pacific Street, Room 100, Omaha, NE 68106
- 1391 Speer Boulevard, Suite 210, Denver, CO 80204-2552
- 7935 East Prentice Avenue, Suite 209, Englewood, CO 80111-2714
- 2900 4th Avenue North, Suite 303, Billings, MT 59101
- 3rd & Rosser, Room 348, P.O. Box 2439, Bismark, ND 58502
- 1781 South 300 West, Salt Lake City, UT 84115-1802
- 101 El Camino Plaza, Suite 105, Sacramento, CA 95815
- 5675 Ruffin Road, Suite 330, San Diego, CA 92123
- 3221 North 16th Street, Suite 100, Phoenix, AZ 85016
- 300 Ala Moana Boulevard, Suite 5-146, Honolulu, HI 96850
- 705 North Plaza, Room 204, Carson City, NV 89701

505 106th Avenue, NE., Suite 302, Bellevue,
WA 98004
301 W. Northern Lights Boulevard, Suite 407,
Anchorage, AK 99503-7571
1150 North Curtis Road, Suite 201, Boise, ID
83706
Federal Office Building, 1220 Southwest 3rd
Avenue, Room 640, Portland, OR 97204

**Pension and Welfare Benefits
Administration Regional Director or District
Supervisor**

Regional Director, J.F.K. Federal Bldg., Room
575, Boston, Massachusetts 02203
Regional Director, 201 Varick Street, New
York, NY 10014
Regional Director, The Curtis Center, 170
South Independence Mall West,
Philadelphia, Pennsylvania 19106-3315
District Supervisor, Silver Spring Metro
Center, Building One, Second Floor, 1335
East-West Highway, Silver Spring, MD
20901
Regional Director, 61 Forsyth Street, S.W.,
Room 7B54, Atlanta, Georgia 30303
District Supervisor, 8040 Peters Road,
Building H, Suite 104, Plantation, Florida
33324
Regional Director, 1885 Dixie Highway, Suite
210, Ft. Wright, Kentucky 41011
District Supervisor, 211 West Fort Street,
Suite 1310, Detroit, Michigan 48226-3211
Regional Director, 200 West Adams Street,
Suite 1600, Chicago, Illinois 60606

Regional Director, City Center Square, 1100
Main Street, Suite 1200, Kansas City,
Missouri 64105
District Supervisor, 815 Olive Street, Room
338, St. Louis, Missouri 63101
Regional Director, 525 Griffin Street, Room
707, Dallas, Texas 75202
Regional Director, 71 Stevenson Street, Suite
915, PO Box 190250, San Francisco,
California 94119-0250
District Director, 1111 Third Avenue, Room
860, Seattle, Washington 98101-3212
Regional Director, 790 E. Colorado Blvd.,
Suite 514, Pasadena, CA 91101

**Regional Administrators, Veterans'
Employment and Training Service (VETS)**

Region I
J.F. Kennedy Federal Building, Government
Center, Room E-315, Boston,
Massachusetts 02203
Region II
201 Varick Street, Room 766, New York, New
York 10014
Region III
The Curtis Center, 170 S. Independence Mall
West, Suite 770 West, Philadelphia,
Pennsylvania 19106

Region IV
Sam Nunn Atlanta Federal Center, 61 Forsyth
Street, SW., Room 6T85, Atlanta, Georgia
30303

Region V
230 South Dearborn, Room 1064, Chicago,
Illinois 60604

Region VI
525 Griffin Street, Room 858, Dallas, Texas
75202

Region VII
City Center Square Building, 1100 Main
Street, Suite 850, Kansas City, Missouri
64105-2112

Region VIII
1999 Broadway, Suite 1730, Denver,
Colorado 80202-5716

Region IX
71 Stevenson Street, Suite 705, San
Francisco, California 94105

Region X
1111 Third Avenue, Suite 900, Seattle,
Washington 98101-3212
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CH-P; 4510-CK-P; 4510-CN-P; 4510-CP-P**