

FTC-I-5

System name:

Management Information System -- FTC.

Security classification:

Not applicable.

System location:

Federal Trade Commission, 6th Street and Pennsylvania Avenue, NW., Washington, DC 20580.

Categories of individuals covered by the system:

Individuals who, at the time the records are added to the system, are Commission employees; participants in Commission investigations, rulemaking, advisory, and law enforcement proceedings; and parties requesting formal advisory opinions. (Businesses, proprietorships, or corporations are not covered by this system.)

Categories of records in the system:

For records about individuals who, at the time the records are added to the system, are Commission employees: Name; employee identification number; organization name and code; employee time spent on work activities and type of activities engaged in; and specific responsibilities and assignments on individual matters. For others: records related to investigatory, rulemaking, and advisory opinion proceedings, including name and associated matter number; matter status; alleged or potential law violation; and goods or services associated with the proceeding. The records also include plans for conducting the proceeding and actions taken during the proceeding.

Authority for maintenance of the system:

Federal Trade Commission Act.

Purpose(s):

To maintain records of employee work and Commission law enforcement activities; to make workload and budget determinations and personnel related evaluations; to assist in investigative and adjudicative proceedings, enforcement actions, civil penalty proceedings, consideration of compliance reports, issuance of cease and desist orders, and advisory opinions; to refer to experts and consultants when considered appropriate by Commission staff; and to use those records to properly manage Commission resources.

Routine uses of records maintained in the system, including categories of users and the purposes

of such uses:

In addition to the disclosures generally permitted under 5 U.S.C. 552a(b), and the disclosure provisions described in Appendix I of this notice, records or information in these records may be specifically disclosed pursuant to 5 U.S.C. 552a(b)(3) as follows, provided that no routine use specified either herein or in Appendix I shall be construed to limit or waive any other routine use:

(1) Made available or referred to federal, state, or local government authorities for investigation, possible criminal prosecution, civil action, regulatory order or other law enforcement purpose; and

(2) If the proceeding about which the record relates is public in nature, records may be made part of the public record of the Commission and made available to the public.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

May be maintained on standard legal-size and letter-size paper; magnetic tapes and disks; microfilm and microfiche; or optical storage media.

Retrievability:

Indexed by individual's name, employee identification number, matter number, respondent's or correspondent's name, company name, industry investigation title, and FTC matter number.

Safeguards:

Certain records available to the public. Access to other records restricted to agency personnel whose responsibilities require access. Access to computerized records controlled by "user id" and password combination.

Retention and disposal:

Records are retained indefinitely.

System manager and address:

Director, Information Management & Dissemination Division, Federal Trade Commission, 6th Street and Pennsylvania Avenue, NW., Washington, DC 20580.

Notification procedure; Record access procedure; and Contesting Record procedure:

See Appendix II.

Record source categories:

Individual on whom the record is maintained and Commission staff associated with the matter.

System exempted from certain provisions of the Act:

Records contained in this system that have been placed on the FTC Public Record are available upon request. However, pursuant to *5 U.S.C. 552a(k)(2)*, records in this system, which reflect records that are contained in other systems of records that are designated as exempt, are exempt from the requirements of subsections (c)(3), (d), (e)(1), (e)(4)(G), (H), (I), and (f) of *5 U.S.C. 552a*. See § 4.13(m) of the FTC Rules of Practice, 16 CFR 4.13(m).