

FEDERAL TRADE COMMISSION
AGENCY: Federal Trade Commission (FTC).

57 FR 45678

October 2, 1992

Privacy Act of 1974; Publication of Systems of Records and Proposed New Routine Uses

ACTION: Advance notice with request for comments; publication of proposed system notice for new systems, altered systems, and deleted systems.

SUMMARY: The Federal Trade Commission is proposing to revise its Privacy Act Systems of Records Notice, which was last published in complete form in 1982. This proposal provides an up-to-date, complete text of the Commission's notices of its system of records; proposes the establishment of fourteen new systems of records; and proposes new routine uses for all of the Commission's systems. The revisions also reflect system name changes, number redesignation, and other editorial changes. The publication of this proposed systems notice is one of the steps required to establish new and revise existing systems of records. The addition of the new systems and revisions to the existing systems will permit the FTC to accomplish its law enforcement, managerial, and other responsibilities more efficiently and effectively.

Reports required under Section (o) of the Privacy Act, 5 U.S.C. 552a(o), have been submitted to both Houses of Congress and to the Office of Management and Budget.

DATES: Comments must be received on or before November 2, 1992. Unless changes are made in response to comments received from the public, this action is effective upon final publication of the amendment of FTC Rule of Practice 4.13(m); the amendment is set forth in proposed form elsewhere in today's issue of the Federal Register.

ADDRESSES: Forward comments to the Office of the Secretary, Federal Trade Commission, Sixth Street and Pennsylvania Avenue, NW., Washington, DC 20580. Comments will be placed on the public record and made available for inspection during regular Commission business hours.

FOR FURTHER INFORMATION CONTACT: Keith Golden, Information Management and Dissemination Division, Federal Trade Commission, Sixth Street and Pennsylvania Avenue, NW., Washington, DC 20580 (202-326-2410).

TEXT: SUPPLEMENTARY INFORMATION: The Federal Trade Commission last published a complete listing of systems notice on July 28, 1982. 47 FR 32622 (1982). The Commission now proposes a new notice that: (1) Reorganizes the notice to present the information to the public in a structure that is easier to understand and use; (2) consolidates systems that are no longer maintained separately; (3) deletes obsolete systems; (4) adds new systems that were not previously identified; (5) revises and updates the descriptions of existing systems; and (6) makes appropriate systems exempt from the Act's disclosure requirements. As a result of these changes, the Commission's proposed notice contains 36 separate systems of records.

I. Reorganization of the Systems Notice

When the Commission first published its system notice, the individual systems were assigned numbers based upon placement of the systems within an alphabetical listing of the titles of the systems. However, over the life of the notice, systems have been added, deleted, and renamed. As a result, it may be difficult for the public to locate systems that may contain records to which they may have access. The Commission addressed that issue in the 1982 notice by including an index of the systems. The Commission has now reorganized the notice and collected systems into seven major groups, each of which contains systems that are similar in subject matter and content. Those seven groups of systems contain the following categories of records: Law Enforcement; Personnel; Financial; Correspondence, Access Request; Mailing List; and Miscellaneous. The systems also have been

renumbered using a two-part numbering system that will allow systems to be added or renamed within each group in the future.

II. Consolidation of Systems of Records

Since 1982 records storage and maintenance procedures related to several systems have changed and now those systems are not truly separate collections of records. Several existing systems related to the Commission's law enforcement records, personnel records, correspondence records, and mailing lists have been consolidated where the structure and content of the systems are compatible.

A. Law Enforcement Records

The Commission no longer maintains separate records for four categories of records. All records in "33-Preliminary Investigatory Files," and "53-Medical Participation in Control of Certain Open-Panel Medical Prepayment Plans Mailing List" have either been destroyed in keeping with our records disposition schedules or incorporated into other law enforcement files that are part of the primary law enforcement system of records. Two other systems, "18-Consumer Redress Lists-Enforcement Division" and "19-Correspondence with Enforcement Division -- BCP Concerning Parties Subject to Commission Orders," are both directly related to the primary law enforcement system of records, and the records in those systems cannot be retrieved without first identifying the matter number associated with the records of the primary system. Therefore, all of those law enforcement records are now covered by the primary law enforcement system of records, "I-1 Investigational, Legal, and Public Records-FTC."

B. Personnel Records

Two systems, "9-Consultant Files-Division of Advertising Practices -- BCP" and "30-Consultant Files -- BC," were maintained by individual organizations within the Commission. Those systems contained only copies of records related to consultants. The original records are located in the "General Personnel Records" system. Since no unique records are maintained outside of that primary system, all of the duplicate records in those two systems of records are truly part of system "II-2 Unofficial Personnel Records-FTC," which is designed to cover such unofficial records maintained by individual Commission organizations.

C. Correspondence Records

All of the Commission's organizations that had separate systems of records containing consumer complaint and other correspondence now use a centralized automated information system to record the receipt and handling of those letters. Therefore, the ten separate systems containing consumer correspondence that were identified in 1982 have been consolidated into one system. Records in systems 2, 7, 8, 10, 11, 12, 13, 14, 16, and 25 are now covered by system "IV-1, Correspondence Control System-FTC."

D. Mailing Lists

Five separate systems containing lists of parties who receive information from the Commission have been combined. All of the records in those systems are similar and are used to inform the public of Commission proposals and actions. Therefore, they are effectively one system rather than separate, individual systems. The "mailing list" systems, which include "17-Consumer Mailing List-Los Angeles Regional Office," "34-Public Contact Report System-Atlanta Regional Office," "35-Public Information Mailing List" "36-Public Information Mailing List-Boston Regional Office," and "55-Consumer Education Mailing List -- BCP," are all now represented by system "VI-1 Mailing Lists -- FTC."

III. Deletion of Obsolete Systems of Records

Records that were covered by four systems of records are no longer maintained and those systems have been deleted from the new notice. The four systems that have been deleted include: "15-Application for Reimbursement for Participation in Rulemaking Proceedings," "24-Financial Statements of Commissioners Elect," "27-Assignment Control System-BCP," "37-Individual Claims Submitted Pursuant to Consent Agreement in *Bachman v. Miller*, CA No. 76-0079 (D.D.C. 1976)."

IV. Addition of New Systems of Records

Fourteen systems of records, which are briefly described below, are being added to the Commission's systems notice. Each of those systems contains routine uses based on the reasons for which the records are collected and maintained. The precise characteristics and routine uses are outlined in the complete system notice.

The systems that are being added include:

A. I-5 Management Information System

The Management Information System is an automated information system containing summary records identifying the plans, accomplishments, and actions taken related to the law enforcement and administrative work of the agency. Parties covered by the system are individuals, when not acting in a business capacity, who participate in those proceedings and individuals who, at the time the records are added to the system, are Commission employees. The records are primarily used by FTC employees and managers to make workload and budget determinations and personnel related evaluations; used by FTC staff in all types of proceedings involving the Commission; made available to other law enforcement agencies for official use; and some information in the system is made available to the public. This system is exempt from the disclosure provisions of the Privacy Act under Section (k)(2).

B. I-6 Office of the Secretary Control and Reporting System -- FTC

This is an automated information system that supplements the records contained in system "I-1 Management Information System -- FTC." However, the records in this system relate to issues and matters that are actually presented to the Commissioners for review or information. The records in the system and the routine uses of those records are similar to the Management Information System. The system is also exempt from the disclosure and reporting requirements under Section (k)(2) of the Privacy Act.

C. I-8 Stenographic Reporting Services Requests

Individuals who, at the time the records are added to the system, are Commission employees and who request stenographic reporting services and individuals who are deposed or provide testimony at hearings are covered by this system. The records are used to identify and track the expenditure of funds of stenographic reporting services. Since virtually all of the records relate directly to law enforcement activities of the Commission, this system is exempt from disclosure and reporting requirements under Section (k)(2) of the Privacy Act.

D. II-3 Worker's Compensation

Commission employees who sustain work related injuries or occupational diseases are covered by this system, when they file under the Worker's Compensation program. Records describing the application, circumstances

surrounding the application, and outcome of the matter are contained in the system. The records are primarily used to respond to inquiries about compensation claims from the Department of Labor, supervisors, and employees.

E. II-10 Employee Medical File

Medical reports, opinions, evaluation and treatment information, and records resulting from testing for use of illegal drugs may be contained in this system of records. Those records relate to individuals who, at the time the records are added to the system, are Commission employees. The records are used to assist other agencies when necessary to adjudicate a claim under a retirement, insurance, or health benefit program; to comply with laws governing reporting of communicable diseases; and other related uses.

F. II-11 Personnel Security File

These records are maintained to document personnel security investigations. The records in the system, which cover individuals who, at the time the records are added to the system, are Commission employees, include reports, position sensitivity designation files, and related records. The records are used primarily to assist other agencies conducting a security or suitability investigation. This system is exempt from the disclosure provisions of the Privacy Act under section (k)(5).

G. II-12 Training Reservation System

The records in this system are collected to assist the Commission in designing and offering appropriate training to Commission employees and to record the training sessions attended by individual employees. The individuals covered by the system include individuals who, at the time the records are added to the system, are Commission employees.

H. V-3 Public Information Requests System

This automated information system is used to respond to requests from members of the public for copies of publications and documents that the Commission has previously made available for public dissemination. The system records the identity of the requester, the publication(s) provided, and the identity of the staff person who filled the request.

I. VII-3 Computer System User Identification

This is an administrative collection of records used to monitor and manage the use of Commission computer systems. The individuals covered include individuals who, at the time the records are added to the system, are Commission employees and others who use the Commission's central computer facilities. The records contained in the system include the information systems to which the person has access, the systems and services used, amount of time spent using each system or function, number of usage sessions, and cost of such usage. The records are used by managers to plan for and operate automated systems efficiently, control costs of information system usage, prepare budget requests, and identify and conduct training programs.

J. VII-4 Standard Name System

This is an automated information system with the sole purpose of coding the identity of parties who interact with the Commission. The coded identity, rather than the party's complete name, is then recorded in the Commission's other automated information systems. The parties covered by the system are individuals, when not acting in a

business capacity, who interact with the Commission.

K. VII-5 Property Management System

This is an automated information system used to control physical property of the Federal Trade Commission. The records relate to individuals who, at the time the records are added to the system, are Commission employees and include such information as identification of property assigned to the individual and information related to the use and maintenance of that equipment.

L. VII-6 Information Retrieval and Indexing System

This information system is used as a basic research tool by Commission staff, and to a limited extent by the public. Information about certain individual documents collected by, generated by, or submitted to the Commission are recorded in an automated system and copies of those documents may be stored on paper, microfiche, or in an electronic or optical medium. The records are indexed by the author of each document and those authors are the individuals covered by this system. In addition, those documents stored in an electronic medium are retrievable by the use of any word, including an individual's name that is found in the text of the document. When the original document has been made part of the public record of the Commission, the copy that is available through this system may be provided to the public. However, the nonpublic documents usually relate to law enforcement matters. Therefore, the system is exempt under the provisions of Privacy Act Section (k)(2).

M. VII-7 Service Order System

Requests for assistance and service related to the Commission's hardware and software, as well as the resolution of those requests, are recorded in this automated information system. The records are used to monitor the quality of service provided and the maintenance records of equipment. The individuals covered by the system include individuals who, at the time the records are added to the system, are Commission employees.

N. VII-8 Service Call System

The records in this automated information system indicate the requests for building maintenance and other administrative support services and the resolution of those requests. The records provide information to Commission management indicating the volume of such requests and the quality of the service provided. The individuals covered by the system include individuals who, at the time the records are added to the system, are Commission employees.

V. Revisions to Existing Systems of Records

The Commission has identified several additional routine uses that are applicable to each of its existing systems of records. The Commission may have need to refer documents to the Department of Justice when the Commission or an employee of the Commission is party to litigation and use of the records by the Department of Justice is necessary to the successful conduct of that litigation. Similarly, the Commission may need or be required to submit records to a court in relation to litigation or may be required to turn over records to a grand jury in response to a valid order of a court. In addition, it may be necessary to disclose records to the National Archives and Records Administration for records management inspections conducted under authority of *44 U.S.C. 2904* and *2906*. The fifth routine use is disclosure to the Office of Management and Budget at any stage in the legislative coordination and clearance process in connection with private relief legislation as set forth in OMB Circular No. A-19. A record, which is primarily part of one of the Commission's systems of records, may be incorporated into the file related to a discrimination complaint. A routine use for that incorporation and for the routine uses associated with

the discrimination complaint system of records is needed. Finally, records in a system may be used in a proceeding designed to collect debts owed to the Government and disclosure to a debt collection contractor for that purpose may be appropriate. These routine uses reflect routine administrative, law enforcement, and recordkeeping requirements that other agencies have recognized as necessary to effective operation of the agency. Since each of those routine uses applies to each of the Commission's systems of records, the Commission has determined to reduce the repetitive restatement of those uses in the description of each system. Appendix I of this notice lists in detail the routine uses that apply to all of the systems, and each individual system refers to that appendix.

In addition to those routine uses, on individual systems the Commission has added categories of records and individuals covered by the systems and additional routine uses, where appropriate. Each of those revisions to existing systems is briefly outlined below and precisely described in the system notice.

A. I-1 Investigational, Legal, and Public Records -- FTC

(Previously System Number 28)

Individuals who may receive redress as a result of a proceeding with records contained in the system have been added to the categories of individuals covered by the system. The record retention description has been modified to indicate documents may be returned to the submitter or destroyed upon closing of the matter.

B. I-4 Clearance To Participate Applications and the Commission's Responses Thereto -- FTC

(Previously System Number 46 Applications for Clearance to Participate, Responses Thereto, and Related Documents)

Documents collected and generated during the course of considering the applications have been added to the categories of records covered by the system. Routine uses have been added to reflect that the application and the Commission's response may be made part of the Commission's public record. However, because some of the applications relate to participation in law enforcement matters, the system has been designated as exempt under Privacy Act Section (k)(2).

C. II-1 General Personnel Records -- FTC

(Previously System Number 23 Applicant Files and General Personnel Records [Official Personnel Folder and Records Related Thereto]; Duplicate Personnel Files and Automated Records -- FTC)

The following routine uses of the records in this system have been added: (1) Disclosure to educational institutions on appointment of a recent graduate to a position in the federal service; (2) disclosure to a federal, state, or local agency for determination of an individual's entitlement to benefits in connection with Federal Housing Administration programs; (3) consideration of recognition of employees through quality step increases, incentive awards, and other honors and publication of those granted; (4) disclosure to a person responsible for the care of an individual who is mentally incompetent or under other legal disability, to the extent necessary to assure payment of benefits to which the individual is entitled; and (5) disclosure of the home address or other relevant information on individuals who, it is reasonably believed, might have contracted an illness, been exposed to, or suffered from a health hazard while employed in the federal work force.

D. II-2 Unofficial Personnel Records -- FTC

(Previously System Number 41)

Individuals who, at the time the records are added to the system, are consultants, contractors, and job applicants have been added to the individuals covered by this system because agency supervisors and managers retain records related to the performance of those consultants and contractors and retain records about applicants during the interview, evaluation, and selection process.

E. II-4 Counseling Records -- FTC

(Previous System Number 21)

The description of the records contained in this system has been revised to reflect that it now includes records related to "labor relations" issues. Routine uses have been added to indicate that the records may be referred to the labor organization representing Commission employees and to the Federal Labor Relations Authority.

F. II-7 Statement of Employment and Financial Interest -- FTC

(Previously System Number 40)

A routine use has been added to reflect that records may be released to others to obtain information in an investigation.

G. III-3 Financial Management System -- FTC

(Previous System Number 23)

The category of individuals covered by the system has been revised to include non-FTC employees who are reimbursed for expenses. This system was previously identified as exempt under the provisions of Section (k)(2). However, the Commission has determined to withdraw that exemption.

H. IV-1 Correspondence Control System -- FTC

(Previous System Number 02)

The only other substantive change to this system is the addition of a routine use indicating that records from this system may be incorporated into the Commission's primary investigatory system of records, "I-1 Investigational, Legal, and Public Records -- FTC."

I. V-1 Freedom of Information Act Requests and Appeals From Other Than Government Agencies and the Commission's Response, Thereto -- FTC

(Previously System Number 49)

Documents generated or collected to respond to the request have been added to the categories of records covered by the system. Because the records that are collected and generated during the consideration given to the request often relate to the law enforcement programs of the Commission, the system has been designated as exempt under Privacy Act Section (k)(2).

J. V-2 Privacy Act Requests and Appeals -- FTC

(Previously System Number 51)

The categories of records covered by the system have been revised to include documents generated or collected to respond to the request. Also, because the records that are collected and generated during the consideration given to the request usually relate to the law enforcement programs of the Commission, the system has been designated as exempt under Section (k)(2).

VI. Exemption of Systems of Records From Provisions of the Privacy Act

The Commission proposes that a total of eleven active systems be designated as exempt from the disclosure and reporting requirements of subsections (c)(3), (d), (e)(1), (e)(4)(G), (H), (I), and (f) of the Privacy Act. On September 30, 1990, the Commission implemented a proposal to exempt the records contained in system "I-7 Office of Inspector General Investigative Files" from certain provisions of the Privacy Act under subsections (j)(2) and (k)(2). This proposal restates that determination. The Commission now proposes that, consistent with subsections (k)(2) or (k)(5) the other ten systems be designated as exempt to protect the relevant law enforcement information or the identities of confidential sources from disclosure.

A. Systems Previously Designated as Exempt Under Subsection (k)(2)

Of those eleven systems of records, three have previously been designated as exempt by the Commission under the provisions of subsection (k)(2). Those include: "I-1 Investigational, Legal, and Public Records," and "I-2 Disciplinary Action Investigatory Files," and "I-7 Office of Inspector General Investigative Files." The Commission has reconfirmed that the systems meet the criteria of that subsection because they were compiled for law enforcement purposes.

B. Systems Not Previously Designated as Exempt Under Subsection (k)(2)

The Commission now proposes that seven additional systems be designated as exempt systems under the provisions of subsection (k)(2). Four of those systems, "I-4 Clearance to Participate Applications Responses Thereto, and Related Documents," "I-5 Management Information System," "I-6 Office of the Secretary Control and Reporting System," and "I-8 Stenographic Reporting Service Requests," are compiled solely for law enforcement purposes. The first two of those systems contain some records that are placed on the Commission's public record.

Three other systems, "V-1 Freedom of Information Act Requests and Appeals," "V-2 Privacy Act Requests and Appeals," and "VII-6 Information Retrieval and Indexing System," actually contain, in addition to records created solely for the purpose for which the systems were compiled, copies of records or descriptions of records that were extracted and re-compiled from law enforcement records contained in systems of records that are designated as exempt under subsection (k)(2). In addition, some records from the first and third of those systems are also routinely placed on the Commission's public record.

The Commission has considered several options for these systems of records and determined that to protect sensitive law enforcement records, to avoid costly maintenance of similar and in some instances partially duplicate records, and to provide the public with as much access to records as possible, only those records in these systems of records that were actually "re-compiled" from or reflect information contained in other systems of records that are properly designated as exempt under the provisions of the statute will be covered by the exemption claimed under subsection (k)(2). The statements describing the exemption of individual systems of records found later in this notice convey the Commission's determination.

C. System Not Previously Designated Exempt Under Subsection (k)(5)

One new system, "II-11 Personnel Security Files," contains information related to the suitability, eligibility, or qualifications for Federal civilian employment, military service, Federal contracts, or access to classified information. A system of records, where disclosure would reveal the identity of a confidential source of information, may be designated as exempt under subsection (k)(5). 5 U.S.C. 552a(k)(5). Therefore, the Commission proposes that system II-11 be designated as exempt under that provision.

D. Withdrawal of Exempt Designation

One system identified as exempt in the 1982 notice has been redefined as not exempt. The description of the Financial Management System -- FTC, which was listed in the 1982 notice as system 23 and is now identified as system III-3, indicates that it was exempt from the disclosure requirements of the Privacy Act by Section (k)(2). The Commission has determined that the records that are retrieved by using an individual's name or identifier do not meet the criteria of Section (k)(2) and proposes, therefore, to remove the "exempt" designation from the system notice.

VII. Cross Reference to the 1982 Systems Notice

To assist in the review of this proposal and comparison to the 1982 notice, the following listing identifies the old numbering system, the old system name, and the action proposed.

System No.	System name	Action
01 8.	Biographies of Commissioners and Key Staff Members	Renumbered as II-
02 1.	Correspondence Control System	Renumbered as IV-
03 Deleted.		Previously
04 9.	Claimants under Federal Tort Claims Act and Military Personnel and Civilian Employees Claims Act	Renumbered as II-
05 Deleted.		Previously
06 Deleted.		Previously
07 1.	Congressional Correspondence Coordination Unit Records	Consolidated with IV-
08 1.	Congressional Inquiry Files -- DARO	Consolidated with IV-
09 2.	Consultant Files -- Division of Advertising Practices -- BCP	Consolidated with II-
10 1.	Consumer and Industry Correspondence Files -- Division of Credit Practices -- BCP	Consolidated with IV-
11 1.	Consumer Complaint Files -- ARO	Consolidated with IV-
12	Consumer Complaint Files -- DARO	Consolidated with IV-

1.			
13	Consumer Complaint Files -- Division of Marketing Practices -- BCP	Consolidated with IV-	
1.			
14	Consumer Complaint Files -- LARO	Consolidated with IV-	
1.			
	Application for Reimbursement for	Deleted -- no	
longer			
15	Participation in Rulemaking Proceedings		
maintained.			
16	Consumer Complaint Files -- SERO	Consolidated with IV-	
1.			
17	Consumer Mailing List -- LARO	Consolidated with VI-	
1.			
	Consumer Redress Lists -- Enforcement Division -- BCP	Consolidated with I-	
18			
1.	Correspondence with Enforcement Division -- BCP Concerning Parties Subject to Commission Orders	Consolidated with I-	
19			
1.			
20	Employee Locator System	Renumbered as VII-	
2.			
21	Counseling Records	Renumbered as II-	
4.			
22	Disciplinary Action Investigatory Files	Renumbered as I-	
2.			
23	Financial Management System	Renumbered as III-	
3.		Deleted -- No	
longer			
24	Financial Statements of Commissioners Elect		
maintained.			
25	General Correspondence Records	Consolidated with IV-	
1.			
	Applicant Files and General Personnel Records [Official Personnel Folder and Records related thereto]; Duplicate Personnel files and Automated, Records	Renumbered as II-	
26			
1.		Deleted -- No	
longer			
27	Assignment Control System -- BCP		
maintained.			
28	Investigational, Legal, and Public Records	Renumbered as I-	
1.			
29		Previously	
Deleted.			
30	Consultant Files -- BC	Consolidated with II-	
2.			
31	Payroll Processing System	Renumbered as III-	
1.			
32	Payroll -- Retirement Records	Renumbered as III-	
2.			
33	Preliminary Investigatory Files	Consolidated with I-	
1.			
34	Public Contact Report System -- ARO	Consolidated with VI-	
1.			
35	Public Information Mailing List	Consolidated with VI-	
1.			

36	Public Information Mailing List -- BRO	Consolidated with VI-
1.		Deleted --
Retention	Individual Claims Submitted Pursuant to	requirements of
court		
37	Consent Agreement in Bachman v. Miller	order expire
11/89.		
38		Previously
Deleted.		
39	Staff Advisory Opinion Records	Renumbered as I-
3.		
	Statement of Employment and Financial	
40	Interest	Renumbered as II-
7.		
41	Unofficial Personnel Records	Renumbered as II-
2.		
42		Previously
Deleted.		
43		Previously
Deleted.		
44		Previously
Deleted.		
45	Automated Serials Routing System	Renumbered as VII-
1.		
	Clearance to Participate Applications and the	
46	Commission's Responses Thereto	Renumbered as I-
4.		
47		Previously
Deleted.		
48		Previously
Deleted.		
	Freedom of Information Act Requests and	
	Appeals from Other Than Government Agencies	
49	and the Commission's Responses Thereto	Renumbered as V-
1.		
50		Previously
Deleted.		
51	Privacy Act Requests and Appeals	Renumbered as V-
2.		
	Equal Employment Opportunity Statistical	
52	Reporting System	Renumbered as II-
5.		
	Medical Participation in Control of Certain	
	Open-Panel Medical Prepayment Plans Mailing	Deleted -- no
longer		
53	List	
maintained.		
54	Discrimination Complaint System	Renumbered as II-
6.		
55	Consumer Education Mailing List -- BCP	Consolidated with VI-
1.		

Accordingly, the Federal Trade Commission proposes the following systems of records be identified as the complete and current notice required by the Privacy Act.

Table of Contents

System Number and System Name

I. Law Enforcement Systems of Records

I-1 -- Investigational, Legal, and Public Records -- FTC.

I-2 -- Disciplinary Action Investigatory Files -- FTC.

I-3 -- Requests for Staff Opinion and Responses Thereto -- FTC.

I-4 -- Clearance to Participate Applications and the Commission's Responses Thereto, and Related Documents -- FTC.

I-5 -- Management Information System -- FTC.

I-6 -- Office of the Secretary Control and Reporting System -- FTC.

I-7 -- Office of Inspector General Investigative Files -- FTC.

I-8 -- Stenographic Reporting Services Request System -- FTC.

II. Federal Trade Commission Personnel Systems of Records

II-1 -- General Personnel Records -- FTC.

II-2 -- Unofficial Personnel Records -- FTC.

II-3 -- Worker's Compensation -- FTC.

II-4 -- Counseling Records -- FTC.

II-5 -- Equal Employment Opportunity Statistical Reporting System -- FTC.

II-6 -- Discrimination Complaint System -- FTC.

II-7 -- Statement of Employment and Financial Interests -- FTC.

II-8 -- Biographies of Commissioners and Key Staff Members -- FTC.

II-9 -- Claimants Under Federal Tort Claims Act and Military Personnel and Civilian Employees' Claims Act -- FTC.

II-10 -- Employee Medical File -- FTC.

II-11 -- Personnel Security File -- FTC.

II-12 -- Training Reservation System -- FTC.

III. Federal Trade Commission Financial Systems of Records

III-1 -- Payroll Processing System -- FTC.

III-2 -- Payroll-Retirement Records -- FTC.

III-3 -- Financial Management System -- FTC.

IV. Correspondence Systems of Records

IV-1 -- Correspondence Control System -- FTC.

V. Access Requests

V-1 -- Freedom of Information Act Requests and Appeals -- FTC.

V-2 -- Privacy Act Requests and Appeals -- FTC.

V-3 -- Public Information Requests System -- FTC.

VI. Mailing List Systems of Records

VI-1 -- Mailing Lists -- FTC.

VII. Miscellaneous Systems of Records

VII-1 -- Automated Serials Routing System -- FTC.

VII-2 -- Employee Locator System -- FTC.

VII-3 -- Computer Systems User Identification -- FTC.

VII-4 -- Standard Name System -- FTC.

VII-5 -- Property Management System -- FTC.

VII-6 -- Information Retrieval and Indexing System -- FTC.

VII-7 -- Service Order System -- FTC.

VII-8 -- Service Call System -- FTC.

I. Law Enforcement Systems of Records

FTC-I-1

System Name:

Investigational, Legal, and Public Records -- FTC.

Security classification:

Not applicable.

System location:

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

Regional Offices:

Atlanta Regional Office, 1718 Peachtree Street, NW., Room 1000, Atlanta, Georgia 30367.

Boston Regional Office, 10 Causeway Street, Room 1184, Boston, Massachusetts 02222-1073.

Chicago Regional Office, 55 East Monroe Street, Suite 1437, Chicago, Illinois 60603.

Cleveland Regional Office, 668 Euclid Avenue, Suite 520-A, Cleveland, Ohio 44114.

Dallas Regional Office, 100 N. Central Expressway, Suite 500, Dallas, Texas 75201.

Denver Regional Office, 1405 Curtis Street, Suite 2900, Denver, Colorado 80202-2393.

Los Angeles Regional Office, 11000 Wilshire Boulevard, Suite 13209, Los Angeles, California 90024.

New York Regional Office, 150 William Street, Suite 1300, New York, New York 10038.

San Francisco Regional Office, 901 Market Street, Suite 570, San Francisco, California 94103.

Seattle Regional Office, 2806 Federal Building, 915 Second Avenue, Seattle, Washington 98174.

Washington National Records Center, 4205 Suitland Road, Suitland, Maryland 20409.

Categories of individuals covered by the system:

Participants in Commission investigations, rulemaking, advisory, and law enforcement proceedings; parties requesting formal advisory opinions; and consumers who have received redress or who are entitled to redress pursuant to Commission or court orders. (Businesses, proprietorships, or corporations are not covered by this system.)

Categories of records in the system:

Name, address, employment status, age, date of birth, financial information, credit information, personal history, and records collected and generated during the investigation, which may include correspondence relating to the investigation; internal staff memoranda; copies of subpoenas issued during the investigation, affidavits, statements from witnesses, transcripts of testimony taken in the investigation, and accompanying exhibits; documents records or copies obtained during the investigation; interview notes, investigative notes, staff working papers, draft materials, and other documents and records relating to the investigation; opening reports, progress reports, and closing reports; and other investigatory information or data relating to any of the following: investigation files; docketed and consent matters; rulemaking proceedings; assurances of voluntary compliance; advisory opinions; but is limited to those files from which information is retrieved by the name of an individual or other identifying particular assigned to the individual.

Authority for maintenance of the system:

Federal Trade Commission Act; Executive Order 10450.

Purpose(s):

To conduct the law enforcement, rulemaking, and advisory responsibilities of the Federal Trade Commission; to make determinations based upon the results of those matters; to report results of investigations to other agencies and authorities for their use in evaluating their programs and imposition of criminal, civil, or administrative sanctions; to report the results of investigations to other agencies or other regulatory bodies for any action deemed appropriate; to make appropriate portions of the records of those matters available to the public; and to maintain records of Commission activities related to those matters.

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;

(2) Referral to experts or consultants when considered appropriate by Commission staff to assist in the conduct of the matters;

(3) Used by Commission personnel with recordkeeping, managerial, and budgeting responsibilities for information management purposes; and

(4) Individual records that are of historical value may also be incorporated into System VII-6, Information Retrieval and Indexing System.

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 respondent's, participant's, or FTC staff member's name; company name; industry investigation title; and FTC matter number.

Safeguards:

Certain records available to the public. Access to nonpublic records restricted to agency personnel whose responsibilities require access. Hardcopy records maintained in lockable rooms and access to automated records controlled "user id" and password combination.

Retention and disposal:

Records not needed for historical purposes destroyed or returned to submitter at conclusion of the matter. Other records retained at FTC office for 5 years after conclusion of matter, after which transferred for storage to appropriate National Archives and Records Administration or Federal Records Center. Investigatory files, except history portions, destroyed after 5 years.

System manager and addresses:

Supervisor, Records Branch, 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 respondent(s) or proposed respondent(s), company records, complainants, informants, witnesses, participants, and FTC employees.

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 that are not on the Public Record 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, and the corresponding provisions of 16 CFR 4.13. See FTC Rules of Practice § 4.13(m), 16 CFR 4.13(m), as amended.

FTC-I-2

System name:

Disciplinary Action Investigatory Files -- 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:

FTC personnel, counsel for parties in investigative or adjudicative proceedings, and others participating in FTC matters who may be subject to investigation for possible improper or unethical conduct.

Categories of records in the system:

Name, address, employment status, age, date of birth, financial information, credit information, personal history, and records collected and generated during the investigation, which may include correspondence relating to the investigation; internal staff memoranda; copies of subpoenas issued during the investigation, affidavits, statements from witnesses, transcripts of testimony taken in the investigation, and accompanying exhibits; documents records or copies obtained during the investigation; interview notes, investigative notes, staff working papers, draft materials, and other documents and records relating to the investigation; opening reports, progress reports, and closing reports; and other investigatory information or data relating to alleged violations.

Authority for maintenance of the system:

Federal Trade Commission Act; Executive Order No. 10450.

Purpose(s):

To conduct disciplinary action investigations; to make determinations based upon the results of the investigations; to report results of investigations to other agencies and authorities for their use in evaluating their programs and imposition of criminal, civil, or administrative sanctions; to report the results of investigations to other agencies or other regulatory bodies for any action deemed appropriate; and to maintain records related to those matters.

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) Used to determine whether disciplinary action, including suspension or disbarment from practice before the Commission, is warranted;

(2) May be transferred to the Office of Personnel Management, to a court, or a bar association; and

(3) Used by personnel of other agencies, court, or bar association to whom matter is referred.

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; on microfilm or microfiche; or on optical storage media.

Retrievability:

Indexed by individual's name, company name, industry investigation title, file or docket number.

Safeguards:

Access restricted to employees whose official duties require access. Hardcopy records maintained in lockable cabinets.

Retention and disposal:

Retained at FTC office for 5 years after conclusion of matter, after which transferred for storage to appropriate National Archives and Records Administration and Federal Records Center.

System manager and address:

Supervisor, Records Branch, 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, complainants, informants, witnesses, and Commission personnel having knowledge or providing analysis of matter.

System exempted from certain provisions of the act:

Pursuant to 5 *U.S.C.* 552a(k)(2), records in this system 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).

FTC-I-3

System name:

Requests for Staff Opinion and Responses Thereto -- 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:

Applicants for advisory opinions under § 1.1(b) of the Commission's Rules of Practice, 16 CFR 1.1(b).

Categories of records in the system:

Name and address of requester; business information; proposed courses of business action; Commission responses to requests.

Authority for maintenance of the system:

Federal Trade Commission Act.

Purpose(s):

To maintain records of requests for informal advice and Commission staff responses; to use those records in relation to subsequent requests for informal advice; and to make that information available to the public.

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) Used to provide staff advice that is responsive to a request from a member of the public;
- (2) Used to maintain records of advice given for use of the staff for preparation of future Commission opinions and to coordinate and assure consistency of position;
- (3) Used as a possible referral to appropriate federal or state agencies for advice or where law enforcement action may be warranted;
- (4) Individual records that are of historical value may also be incorporated into System VII-6, Information Retrieval Indexing System; and
- (5) Information 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 disks and tapes; microfilm and microfiche; or optical storage media.

Retrievability:

Indexed by name of requesting party.

Safeguards:

Available to the public and all agency staff. Maintained in lockable office.

Retention and disposal:

Maintained from June 1962; no present disposal program.

System manager and address:

Supervisor, Records Branch, Information Management & Dissemination Division, Federal Trade Commission, Sixth Street and Pennsylvania Avenue, NW., Washington, DC 20580.

Notification procedure; record access procedure; and contesting record procedure:

See Appendix II.

Record source categories:

Individual proprietorship, corporation, or other business organization, or counsel seeking or receiving a staff advisory opinion and FTC employees.

FTC-I-4

System name:

Clearance to Participate Applications and the Commission's Responses Thereto, and Related Documents -- 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:

Former members or employees of the Commission who request authorization to appear or participate in a proceeding or investigation, formal or informal, which was pending in any manner in the Commission during that individual's tenure at the Commission.

Categories of records in the system:

Name, address, and current employment status of the requesting individual, as well as the nature of any connection with the proceeding or investigation for which clearance is sought during service with the Commission; letters responding to those requests indicating the determination of the Commission and outlining reasons for any denial or restriction; internal Commission memoranda evaluating the request and discussing the status of any relevant pending matters.

Authority for maintenance of the system:

Federal Trade Commission Act.

Purpose(s):

To evaluate applications; to make determinations in response to those applications; to maintain records of consideration given to applications requesting authorization to appear in Commission proceedings; and to ensure no conflict of interest between former members or employees of the Commission and active proceedings.

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) Individual records that are of historical value may also be incorporated into System VII-6, Information Retrieval and Indexing System; and

(2) Application and response letters 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 name of the applicant and by the name of the investigation or proceeding.

Safeguards:

Maintained in lockable offices. Applications and responses available to the public and all agency staff. Other records restricted to employees whose official duties require access.

Retention and disposal:

Applications and responses maintained from January 1969; no present disposal schedule.

System manager and address:

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

Assistant General Counsel for Legal Counsel, 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 who prepare the memoranda and response to request.

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).

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).

FTC-I-6

System name:

Office of the Secretary Control and Reporting 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 Commissioners or Commission employees; participants in Commission investigations 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:

Records of assignments; votes; circulations; and statements of individual Commissioners on issues before the Commission.

Authority for maintenance of the system:

Federal Trade Commission Act.

Purpose(s):

To process and control assignments made to individual Commissioners; to coordinate the consideration and votes on appropriate issues; to assist Commissioners and staff in investigative, adjudicative and rulemaking proceedings, enforcement actions, civil penalty proceedings, consideration of compliance reports, issuance of complaints, negotiation of consent orders, issuance of cease and desist orders, advisory opinions, and other matters before the Commission; and to retain records of the matters before the Commission, the Commission's deliberations and decisions concerning those matters, and related documents.

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), records and information in these records may be specifically disclosed pursuant to 5 U.S.C. 552a(b)(3) as described in Appendix I of this notice, provided that no routine use specified therein shall be construed to limit or waive any other routine use.

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 Commissioner or staff name, employee identification number, FTC matter number, respondent's name, company name, and industry investigation title.

Safeguards:

Access to 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:

Secretary, 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:

Commission staff associated with the matter.

System exempted from certain provisions of the Act:

Pursuant to 5 U.S.C. 552a(k)(2), records in this system 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).

FTC-I-7

System name:

Office of Inspector General Investigative Files -- FTC.

Security classification:

Not applicable.

System location:

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

Categories of individuals covered by the system:

Subjects of OIG investigations relating to the programs and operations of the Federal Trade Commission. Subject individuals include, but are not limited to, current and former Commission employees; agents or employees of contractors or subcontractors, as well as contractors and subcontractors in their personal capacity, where applicable; and other individuals whose actions affect the Commission, its programs or operations. (Businesses, proprietorships, or corporations are not covered by this system.)

Categories of records in the system:

Correspondence relating to the investigation; internal staff memoranda; copies of subpoenas issued during the investigation, affidavits, statements from witnesses, transcripts of testimony taken in the investigation, and accompanying exhibits; documents, records, or copies obtained during the investigation; interview notes, investigative notes, staff working papers, draft materials, and other documents and records relating to the investigation; opening reports, progress reports, and closing reports; and other investigatory information or data relating to alleged or suspected criminal, civil, or administrative violations or similar wrongdoing by subject individuals.

Authority for maintenance of the system:

Inspector General Act Amendments of 1988, Pub. L. No. 100-504, amending the Inspector General Act of 1978, Pub. L. No. 95- 452, 5 U.S.C. app.

Purpose(s):

To document the conduct and outcome of investigations; to report results of investigations to other components of the Commission or other agencies and authorities for their use in evaluating their programs and imposition of criminal, civil, or administrative sanctions; to report the results of investigations to other agencies or other regulatory bodies for any action deemed appropriate, and for retaining sufficient information to fulfill reporting requirements; and to maintain records related to the activities of the Office of the Inspector General.

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) Disclosed to agencies, offices, or establishments of the executive, legislative, or judicial branches of the federal or state government

(a) Where such agency, office, or establishment has an interest in the individual for employment purposes, including a security clearance or determination as to access to classified information, and needs to evaluate the individual's qualifications, suitability, and loyalty to the United States Government, or

(b) Where such agency, office, or establishment conducts an investigation of the individual for the purposes of granting a security clearance, or for making a determination of qualifications, suitability, or loyalty to the United States Government, or access to classified information or restricted areas, or

(c) Where the records or information in those records are relevant and necessary to a decision with regard to the hiring or retention of an employee or disciplinary or other administrative action concerning an employee, or

(d) Where disclosure is requested in connection with the award of a contract or other determination relating to a government procurement, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the record is relevant and necessary to the requesting agency's decision on the matter, including, but not limited to, disclosure to any Federal agency responsible for considering suspension or debarment actions where such record would be germane to a determination of the propriety or necessity of such action, or disclosure to the United States General Accounting Office, the General Services Administration Board of Contract Appeals, or any other Federal contract board of appeals in cases relating to an agency procurement;

(2) Disclosed to the Office of Personnel Management, the Office of Government Ethics, the Merit Systems Protection Board, the Office of the Special Counsel, the Equal Employment Opportunity Commission, or the Federal Labor Relations Authority or its General Counsel, of records or portions thereof relevant and necessary to carrying out their authorized functions, such as, but not limited to, rendering advice requested by the OIG, investigations of alleged or prohibited personnel practices (including unfair labor or discriminatory practices), appeals before official agencies, offices, panels or boards, and authorized studies or review of civil service or merit systems or affirmative action programs;

(3) Disclosed to independent auditors or other private firms with which the Office of the Inspector General has contracted to carry out an independent audit or investigation, or to analyze, collate, aggregate or otherwise refine data collected in the system of records, subject to the requirement that such contractors shall maintain Privacy Act safeguards with respect to such records; and

(4) Disclosed to a direct recipient of federal funds such as a contractor, where such record reflects serious

inadequacies with a recipient's personnel and disclosure of the record is for purposes of permitting a recipient to take corrective action beneficial to the Government.

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

Storage:

The OIG Investigative Files consist of paper records maintained in file folders and data maintained on computer diskettes. The folders and diskettes are stored in file cabinets in the OIG.

Retrievability:

The records are retrieved by the name of the subject of the investigation or by a unique control number assigned to each investigation.

Safeguards:

Records are maintained in lockable metal file cabinets in lockable rooms. Access is restricted to individuals whose duties require access to the records. File cabinets and rooms are locked during non-duty hours.

Retention and disposal:

The OIG Investigative Files are kept indefinitely.

System manager and address:

Inspector General, 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:

Employees or other individuals on whom the record is maintained, non-target witnesses, Commission and non-Commission records to the extent necessary to carry out OIG investigations authorized by 5 U.S.C. app.

System exempted from certain provisions of the Act:

Pursuant to 5 U.S.C. 552a(j)(2), records in this system are exempt from the provisions of 5 U.S.C. 552a, except subsections (b), (c)(1) and (2), (e)(4)(A) through (F), (e)(6), (7), (9), (10), and (11), and (i), and corresponding provisions of 16 CFR 4.13, to the extent the system of records relates in any way to the enforcement of criminal laws.

Pursuant to 5 U.S.C. 552a(k)(2), the system is exempt from 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f), and the corresponding provisions of 16 CFR 4.13, to the extent the system of records consists of investigatory material compiled for law enforcement purposes, other than material within the scope of the exemption at 5 U.S.C. 552a(j)(2).

FTC-I-8

System Name:

Stenographic Reporting Services Request System -- FTC.

Security Classification:

Not applicable.

System Location:

Federal Trade Commission, Sixth 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 and who request stenographic reporting services or who are responsible for hearings in which stenographic reporting services are used; individuals who are deposed or provide testimony at hearings in which stenographic reporting services are used. (Businesses, proprietorships, or corporations are not covered by this system.)

Categories of records in the system:

Name and sometimes address of individual who is deposed or provides testimony in FTC proceedings; name of staff requesting and/or responsible for the hearing; information indicating the time and place of the hearing; information identifying the matter to which the hearing relates.

Authority for maintenance of the system:

Federal Trade Commission Act.

Purpose(s):

To communicate information to stenographic reporting service contractors to schedule and provide stenographic reporting services; to maintain records of the planned and actual expenditures of FTC funds for stenographic reporting services; to identify individuals who are deposed or provide testimony in FTC proceedings; to identify individuals who request reporting service assistance; and to identify, for agency managers to ensure that stenographic services are used properly, the use of various levels of stenographic service.

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) When hearing is a matter of public record, information identifying the individual being deposed or providing testimony is made part of the public record of the proceeding.

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:

Records retrievable by name of individual being deposed or providing testimony, name of individual requesting stenographic services, or name of individual responsible for hearing in which stenographic services are required.

Safeguards:

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

Retention and disposal:

Records are retained indefinitely.

System manager and address:

Supervisor, Records Branch, 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).

II. Personnel Systems of Records

FTC-II-1

System Name:

General Personnel Records -- FTC.

Security Classification:

Not applicable.

System Location:

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

Categories of Individuals Covered by the System:

Current Federal Trade Commission employees and applicants for vacancies.

Categories of Records in the System:

Each category of record may include identifying information such as name(s), date of birth, home residence, mailing address, social security number, and home telephone. This system includes, but is not limited to, the contents of the Official Personnel Folder as specified in Federal Personnel Manual Supplement 293-31. (Copies of Official Personnel Records maintained by other Commission offices are considered part of FTC-II-2, Unofficial Personnel Records -- FTC.) Records in this system include:

a. Records reflecting work experience, educational level achieved, specialized education or training obtained outside of Federal service.

b. Records reflecting Federal service and documenting work experience and specialized education or training received while employed. Such records contain information about: Past and present positions held; grades; salaries; and duty station locations; commendations, awards, or other data reflecting special recognition of an employee's performance; and notices of all personnel actions such as: Appointments, transfers, reassignments, details, promotions, demotions, reductions in force, resignations, separations, suspensions, approval of disability retirement applications, retirement and removals.

c. Records relating to enrollment or declination of enrollment in the Federal Employees Group Life Insurance Program and federally-sponsored health benefit programs, as well as forms showing designation of beneficiary.

d. Records of a medical nature, including records compiled during an agency initiated fitness-for-duty examination or request for approval of disability retirement. Such medical records are to be retained in separate envelopes from the OPF and include records of medical examination that are to remain as a long-term record in the OPF (see "Retention and Disposal" section).

e. Records relating to an Intergovernmental Personnel Act assignment or Federal-private exchange program.

f. Records relating to participation in the Federal Executive or SES Candidate Development Program.

g. Records relating to Government-sponsored training or participation in the agency's Upward Mobility Program or other personnel programs designed to broaden an employee's work experiences and for purposes of advancement (e.g., an administrative intern program).

h. Records connected with the Senior Executive Service (SES), for use in making studies and analyses of the SES, preparing reports, and in making decisions affecting incumbents of these positions, e.g., relating to sabbatical leave programs, training, reassignments, and details, that are perhaps unique to the SES and which may or may not be filed in the employee's Official Personnel Folder. These records may also serve as basis for reports submitted to OMB's Executive Personnel and Management Development Group for purposes of implementing the Office's oversight responsibilities concerning the SES.

i. Records on an employee's activities on behalf of the recognized labor organization representing agency employees, including accounting of official time spent and documentation in support of per diem and travel expenses.

j. Records that are performance-related, including: Appraisal forms and supporting documentation; recommendations for personnel actions; Performance Review Board or Executive Resource Board records; forms and supporting documentation issued in connection with removal actions; letters of commendation; and documents certifying satisfactory completion of probationary periods or recommendations for within grade or merit pay actions. Conduct-related records, such as reprimands, admonishments, cautions, or warnings and supporting documentation are also part of this system.

k. To the extent that the records listed here are also maintained in the agency automated personnel or microform records system, those versions of the above records are considered to be covered by this system notice.

Authority for Maintenance of the System:

Title 5 U.S.C. 1302, 2951, 3372, 4118, 8347 and Executive Orders 9397, 9830, and 12107.

PURPOSE(S):

The Official Personnel Folder (OPF) and other general personnel records are the official repository of the records, reports of personnel actions, and the documents required in connection with those actions effected during an employee's Federal service. The personnel action reports and other documents, some of which are filed as long term records in the OPF, give legal force and effect to personnel transactions and establish employee rights and benefits under pertinent laws and regulations governing Federal employment.

The OPF is maintained for the period of the employee's service in the Commission and is then transferred to the National Personnel Records Center for storage or, as appropriate, to the next employing Federal agency. Other records are either retained at the agency for various lengths of time in accordance with General Services Administration records schedules or destroyed when they have served their purpose or when the employee leaves the agency. They provide the basic source of factual data about a person's Federal employment while in the service and after his or her separation. Records in this system have various uses including: Screening qualifications of employees; determining status, eligibility, and employee's rights and benefits under pertinent laws and regulations governing Federal employment; computing length of service; and for other information needed in providing personnel services. These records and their automated or microformed equivalents may also be used to locate individuals for personnel research.

Temporary documents on the left side of the OPF may lead (or have led) to a formal action, but do not constitute a record of it, nor make a substantial contribution to the employee's long term record.

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) Performance Related Uses

(a) 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(s) of the request, and to identify the type of information requested), where necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the conducting of a security or suitability investigation of an individual, the classifying of jobs, the letting of a contract, or the issuance of a license, grant, or other benefit;

(b) To disclose to an agency in the executive, legislative, or judicial branch, or the District of Columbia Government in response to its request, or at the initiation of the agency maintaining the records, information in connection with the hiring of an employee; the issuance of a security clearance; the conducting of a security or suitability investigation of an individual; the classifying of jobs; the letting of a contract; the issuance of a license, grant, or other benefit by the requesting agency; or the lawful statutory, administrative, or investigative purpose of the agency to the extent that the information is relevant and necessary to the requesting agency's decision on the matter;

(c) By the agency or by OPM to locate individuals for personnel research or survey response, and in the production of summary descriptive statistics and analytical studies in support of the function for which the records are collected and maintained, or for related work force studies. While published statistics and studies do not contain individual identifiers, in some instances the selection of elements of data included in the study may be structured in such a way as to make the data individually identifiable by inference;

(d) To provide an official of another Federal agency information needed in the performance of official duties related to reconciling or reconstructing data files, in support of the functions for which the records were collected and maintained;

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

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

(g) To disclose to prospective non-Federal employers, the following information about a specifically identified current or former Federal employee:

(i) Tenure of employment;

(ii) Civil service status;

(iii) Length of service in the agency and the Government; and

(iv) When separated, the date and nature of action as shown on the Notification of Personnel Action. Standard Form 50 (or authorized exception);

(h) To consider employees for recognition through quality step increases, and to publicize those granted. This may include disclosure to other public and private organizations, including news media, which grant or publicize employee recognition;

(i) To consider and select employees for incentive awards and other honors and to publicize those granted. This may include disclosure to other public and private organizations, including news media, which grant or publicize employee awards or honors;

(j) To disclose information to any member of the agency's Performance Review Board or other board or panel (e.g. one convened to select or review nominees for awards of merit pay increases), when the member is not an official of the employing agency; information would then be used for the purposes of approving or recommending selection of candidates for executive development of SES candidate programs, issuing a performance appraisal rating, issuing performance awards, nominating for Meritorious and Distinguished Executive ranks, and removal, reduction-in-grade, and other personnel actions based on performance;

(k) By agency officials for purposes of review in connection with appointments, transfers, promotions, reassignments, adverse actions, disciplinary actions, and determination of qualification of an individual;

(l) By the Office of Personnel Management for purposes of making a decision when a Federal employee or former Federal employee is questioning the validity of a specific document in an individual's record; and

(m) As a data source for management information for promotion of summary descriptive statistics and analytical studies in support of the related personnel management functions of human resource studies; may also be utilized to locate specific individuals for personnel research or other personnel management functions;

(2) Training/Education Related Uses

(a) To disclose information to Government training facilities (Federal, State, and local) and to non-Government training facilities (private vendors of training courses or programs, private schools, etc.) for training purposes; and

(b) To disclose information to educational institutions on appointment of a recent graduate to a position in the Federal service, and to provide college and university officials with information about their students working under the Cooperative Education Volunteer Service, or other similar programs where necessary to a student's obtaining credit for the experience gained;

(3) Retirement/Insurance/Health Benefits Related Uses

(a) To disclose information to: the Department of Labor, Department of Veterans Affairs, Social Security Administration, Department of Defense, Federal agencies that have special civilian employee retirement programs; or a national, State, county, municipal, or other publicly recognized charitable or income security administration agency (e.g., State unemployment compensation agencies) where necessary to adjudicate a claim under the retirement, insurance or health benefits programs of the Office of Personnel Management or an agency cited above, or to an agency to conduct an analytical study or audit of benefits being paid under such programs;

(b) To disclose to the Office of Federal Employees Group Life Insurance information necessary to verify election, declination, or waiver of regular and/or optional life insurance coverage or eligibility for payment of a claim for life insurance;

(c) To disclose to health insurance carriers contracting with the Office of Personnel Management to provide a health benefits plan under the Federal Employees Health Benefits Program, information necessary to identify enrollment in a plan, to verify eligibility for payment of a claim for health benefits, or to carry out the coordination or audit of benefit provisions of such contracts;

(d) When an individual to whom a record pertains is mentally incompetent or under other legal disability, information in the individual's record may be disclosed to any person who is responsible for the care of the individual, to the extent necessary to assure payment of benefits to which the individual is entitled;

(e) To disclose to the agency-appointed representative of an employee all notices, determinations, decisions, or other written communications issued to the employee, in connection with an examination ordered by the agency under:

(i) Fitness-for-duty examination procedures; or

(ii) Agency-filed disability retirement procedures;

(f) To disclose to a requesting agency, organization, or individual the home address and other relevant information concerning those individuals who, it is reasonably believed, might have contracted an illness, been exposed to, or suffered from a health hazard while employed in the Federal work force; and

(g) To disclose information to the Department of Defense, National Oceanic and Atmospheric Administration, and the United States Coast Guard needed to effect any adjustments in retired or retained pay required by the dual compensation provisions of 5 U.S.C. 5532;

(4) Labor Relations Related Uses

(a) To disclose information to the Federal Labor Relations Authority (including its General Counsel) when requested in connection with investigation and resolution of allegations of unfair labor practices, in connection with the resolution of exceptions to arbitrator's awards where a question of material fact is raised and matters before the Federal Service Impasses Panel; and

(b) To disclose information to officials of labor organizations recognized under 5 U.S.C. 71 et. seq. when relevant and necessary to their duties of exclusive representation concerning personnel policies, practices, and matters affecting working conditions; and

(5) Miscellaneous Uses

(a) To disclose information to the Federal Acquisition Institute (FAI) about Federal employees in procurement occupations and other occupations whose incumbents spend the predominant amount of their work hours on procurement tasks; provided that the FAI shall only use the data for such purposes and under such conditions as prescribed by the notice of the Federal Acquisition Personnel Information System as published in the Federal Register on February 7, 1980 (*45 FR 8399 (1980)*);

(b) To provide data to OPM for inclusion in the automated Center Personnel Data File;

(c) Disclosed for any routine use noted in the Office of Personnel Management Privacy Act Notice for this system of records. See *47 FR 16489 (1982)*, as amended by *50 FR 15253 (1985)*;

(d) To disclose information to a Federal, state, or local agency for determination of an individual's entitlement to benefits in connection with Federal Housing Administration programs; and

(e) To locate individuals for personnel research or survey response, and in the production of summary descriptive statistics and analytical studies in support of the function for which the records are collected and maintained, or for related work force studies. While published statistics and studies do not contain individual identifiers, in some instances, the selection of elements of data included in the study may be structured in such a way as to make the data individually identifiable by inference.

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 disks and tape, and punched cards.

Retrievability:

Records are indexed by various combinations of individual's name, birth date, social security number, or employee identification number.

Safeguards:

Records are located in lockable metal file cabinets or in metal file cabinets in secured rooms with access limited to those whose official duties require access. Access to automated files restricted by password to those whose official duties require access.

Retention and Disposal:

Long-term Records. The Official Personnel Folder (OPF) is retained by the Commission as long as the individual is employed with the Commission. Medical records are kept separately from the OPF while the individual is employed by the Commission. When the individual transfers to any Federal agency or to another appointing office, the OPF, with the long-term medical records inserted in a separate envelope, is sent to that agency or office. Other medical records covered by this system; i.e., fitness-for-duty examinations, are considered temporary in nature. Such records, when not submitted to the Office of Personnel Management for retention in a disability retirement file (or submitted, but the Office of Personnel Management does not approve retirement), shall be destroyed no later than 6 months after closing action on the case or sooner at the discretion of the Commission.

Within 90 days after the individual separates from the Federal service, the OPF is sent to the National Personnel Records Center for long-term storage. In the case of administrative need, a retired employee, or an employee who dies in service, the OPF is sent to the Records Center within 120 days.

Destruction of the OPF is in accordance with General Records Schedule (GRS) 1.

Other Records. These records are retained for varying periods of time. Generally they are maintained for a minimum of 1 year or until the employee transfers or separates.

Records contained on computer processible media within the Commission's automated personnel records may be retained indefinitely as a basis for longitudinal work history statistical studies. After the disposition date in GRS-1, such records may not be used in making decisions concerning employees.

System Manager and Address:

Director, Division of Personnel, 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 to whom the record applies and agency employees.

FTC-II-2

System Name:

Unofficial Personnel Records -- FTC.

Security Classification:

Not applicable.

System Location:

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

Regional Offices:

Atlanta Regional Office, 1718 Peachtree Street, NW., Room 1000, Atlanta, Georgia 30367.

Boston Regional Office, 10 Causeway Street, Room 1184, Boston, Massachusetts 02222-1073.

Chicago Regional Office, 55 East Monroe Street, Suite 1437, Chicago, Illinois 60603.

Cleveland Regional Office, 668 Euclid Avenue, Suite 520-A, Cleveland, Ohio 44114.

Dallas Regional Office, 100 N. Central Expressway, Suite 500, Dallas, Texas 75201.

Denver Regional Office, 1405 Curtis Street, Suite 2900, Denver, Colorado 80202-2393.

Los Angeles Regional Office, 11000 Wilshire Boulevard, Suite 13209, Los Angeles, California 90024.

New York Regional Office, 150 William Street, Suite 1300, New York, New York 10038.

San Francisco Regional Office, 901 Market Street, Suite 570, San Francisco, California 94103.

Seattle Regional Office, 2806 Federal Building, 915 Second Avenue, Seattle, Washington 98174.

Categories of Individuals Covered by the System:

Individuals who, at the time the records are added to the system, are Commission employees, consultants, contractors, or applicants for vacancies.

Categories of Records in the System:

The system of records contains information or documents about the educational background, employment, and work history of individuals. The types of records maintained vary with each supervisor and Commission unit. Each supervisor may maintain some or all of the following records: Written notes or memoranda on employee conduct and performance (i.e., employee evaluation, employee forms, leave records, work assignments, or disciplinary problems), work schedule, and records related to consideration given to applicants for positions with the FTC.

Authority for Maintenance of the System:

Title 5 U.S.C. 4301-4308; 6101-6106; 6301-6326; 7301-7352; and 7501-7533.

Purpose(s):

To assist Commission managers in making work assignment, evaluation, and other types of decisions related to the employees of the Federal Trade Commission; to assist in evaluating performance, preparing promotion and award recommendations, preparing informal or formal disciplinary actions, approving leave, coordinating schedules, and preparing news releases; to assist supervisors in the interviewing, evaluation, and selection process when filling position vacancies; and to maintain records of those considerations and actions.

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) Records identifying the individual's work schedule may be made available to other agency staff and the public; and

(2) Referral to the Office of Personnel Management concerning pay benefits, retirement deductions, and other information necessary for OPM to carry out its government-wide personnel management functions.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System:

Storage:

Maintained in file folders and on magnetic diskettes.

Retrievability:

Indexed by individual's name.

Safeguards:

Access to these records is limited to those whose official duties require such access. Maintained in lockable rooms or cabinets.

Retention and Disposal:

Records are destroyed when no longer relevant to the purpose for which they were compiled and maintained. Generally, records are destroyed when the employee no longer works in the bureau or office that compiled and maintained the information.

System Managers and Address:

Employee's Supervisors, Federal Trade Commission, (Same address as System Location).

Notification Procedure; Record Access Procedure; and Contesting Record Procedure:

See Appendix II.

Record Source Categories:

Individual about whom record pertains; individual's supervisors; other interested parties.

FTC-II-3

System Name:

Worker's Compensation -- 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 and who sustain work related injuries or occupational diseases.

Categories of Records in the System:

Names, Social Security numbers, medical reports, accident and occupational disease reporting forms, correspondence, and medical bills.

Authority for Maintenance of the System:

Federal Employees Compensation Act.

Purpose(s):

To consider applications, from employees who allegedly sustain work related injuries, for compensation and to maintain records concerning those applications.

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) Responding to queries from Department of Labor, Office of Workers Compensation Programs, supervisors and employees about compensation claims.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System:

Storage:

Maintained in file folders.

Retrievability:

Indexed by individual's name.

Safeguards:

Access is restricted to agency personnel who require access. Maintained in lockable rooms.

Retention and Disposal:

Records are retained indefinitely.

System Manager and Address:

Director, Division of Personnel, 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 to whom record applies, supervisors, physicians, Department of Labor, Office of Workers Compensation programs, managers, and witnesses.

FTC-II-4

System name:

Counseling Records -- 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:

Current employees of the Federal Trade Commission who seek counseling assistance through the Division of Personnel.

Categories of records in the system:

Counseling notes and Individual Development Plans related to Upward Mobility, Professional Training, Executive Development, and Employee Relations matters. Letters from creditors about debts owed by current employees and copies of employee responses. Records concerning time and expenses of employee involved in activities on behalf of labor organization representing agency employees, including accounting of official time spent and documentation in support of per diem and travel expenses.

Authority for maintenance of the system:

5 U.S.C. 4101 et seq.; Executive Orders 9830, 11348, and 11478; Equal Opportunity Act of 1972.

Purpose(s):

To provide counseling to Commission employees and to maintain records of those activities.

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) Upward Mobility, Professional Training and Executive Development -- used by program director or others whose official duties require such information to assist in providing effective counseling to employees; to provide a record of employee goals and objectives and classes needed to attain those objectives; and to maintain a record of courses taken;

(2) Employee Relations and Debt -- used by Employee Relations Specialist or others whose official duties require such information. Information provides a record of counseling provided and resolution of problem(s). If the problem results in a disciplinary action, information in file may become part of an official record;

(3) Labor Relations -- Used by Labor Relations Specialist and others whose official duties require such information. Provides a record of official time used and travel and per diem money spent while attending to union business. Information disclosed to officials of labor organizations recognized under *5 U.S.C. 7101* et seq. when relevant and necessary to their duties as exclusive representative;

(4) Information disclosed to the Federal Labor Relations Authority (including its General Counsel) when requested in connection with investigation and resolution of allegations of unfair labor practices, in connection with the resolution of exceptions to arbitrator's awards where a question of material fact is raised and matters before the Federal Service Impasses Panel; and

(5) All Records -- Referral to the Office of Personnel Management concerning pay, benefits, retirement

deductions, and other information necessary for the Commission to carry out its government-wide personnel management functions.

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

Storage:

Maintained in file folders.

Retrievability:

Indexed by individual's name.

Safeguards:

Records are stored in lockable metal file cabinets. Access to these records is limited to those persons whose duties require such access.

Retention and disposal:

Records are destroyed after completion of the program (Upward Mobility, Professional Executive Development Programs) or after employee's separation from the agency (Employee Relations and Debt Counseling).

System manager and address:

Director, Division of Personnel, 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 about whom the records pertain, supervisors, program managers, counselor.

FTC-II-5

System name:

Equal Employment Opportunity Statistical Reporting 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.

Categories of records in the system:

Coded minority group designations.

Authority for maintenance of the system:

5 U.S.C. 1301, 3301, 7201, 7204, and Executive Order 10577.

Purpose(s):

To maintain statistical information related to employment opportunities.

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) Used by the Equal Employment Opportunity Director in composite statistical form only, for analyses and reports within the Commission and to the Congress, Office of Management and Budget, Equal Employment Opportunity Commission, and Office of Personnel Management as required by law.

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

Storage:

Stored on magnetic disks and tape.

Retrievability:

Indexed by name of individual, name of group, or by cross-reference to title and grade information contained in FTC System II-1, General Personnel Records (Official Personnel Folder and Records Related Thereto).

Safeguards:

Computerized records controlled by password and access may be obtained only by written authorization of the Equal Employment Opportunity Director.

Retention and Disposal:

Records are retained indefinitely.

System manager and address:

Director, Equal Employment Opportunity Office, 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:

Self-identification or visual identification of each employee by Division of Personnel staff and administrative officer in each Regional Office.

FTC-II-6

System name:

Discrimination Complaint System -- FTC.

Security classification:

Not applicable.

System location:

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

Categories of individuals covered by the system:

Individuals who, at the time the records are added to the system, are Commission employees and applicants for employment.

Categories of records in the system:

Complaints, affidavits, supporting documents, memoranda and notes relevant to precomplaint and complaint investigations and matters.

Authority for maintenance of the system:

Section 717 of Title VII of the Civil Rights Act of 1964, as amended, and 29 CFR part 1613.

Purpose(s):

To assist in the consideration given to reviews of potential or alleged violations of equal employment opportunity statutes and regulations and to maintain records on precomplaint and complaint matters relating to those issues.

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) Used to resolve issues related to alleged discrimination because of race, national origin, religion, sex, age, and physical or mental handicap related to equal employment opportunity matters; and

(2) Used to make reports to Office of Management and Budget, Merit Systems Protection Board, and Equal Employment Opportunity Commission.

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

Storage:

Stored in letter-size file folders.

Retrievability:

Indexed by name of the complainant.

Safeguards:

Maintained in lockable cabinets and access restricted to Commission's EEO staff and parties concerned in any related proceeding.

Retention and disposal:

Records are retained indefinitely.

System manager and address:

Director, Equal Employment Opportunity Office, 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 about whom the record is maintained, affiants, and EEO staff.

FTC-II-7

System name:

Statement of Employment and Financial Interests -- 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 required by FTC regulations to file statements of employment and financial interests.

Categories of records in the system:

Name; organization; statement of personal and family holdings and other interests in business enterprises and real property; listings of creditors and outside employment; opinions of counsel; and other information related to conflict of interest disclosures and determinations.

Authority for maintenance of the system:

Executive Order 11222 and 5 CFR part 735.

Purpose(s):

To meet the requirements of Executive Order 11222 on the filing of employment and financial interest statements; and to assist senior Commission employees and members of the General Counsel's Office to review statements of employment and financial interests to ascertain whether a conflict of interest or apparent conflict of interest exists and, if so, to ensure that appropriate action is taken to remove conflict.

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) Disclosed to a source when necessary to obtain information relevant to a conflict of interest investigation or determination.

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

Storage:

Maintained in file folders.

Retrievability:

By name.

Safeguards:

Records are maintained in lockable file cabinet. Access restricted to those agency personnel whose responsibilities require access.

Retention and disposal:

Records are retained indefinitely.

System manager and address:

Assistant General Counsel for Legal Counsel, 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 about whom the record is maintained.

FTC-II-8

System name:

Biographies of Commissioners and Key Staff Members -- 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:

Current Commissioners and key FTC staff members.

Categories of records in the system:

These reports contain some or all of the following: name, biographical data such as education and employment, photograph and news release related to the individual's appointment.

Authority for maintenance of the system:

Federal Trade Commission Act.

Purpose(s):

To maintain records for the public outlining the biographies of Commissioners and key Commission staff members.

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) Used by Office of Public Affairs staff members as resource material for (a) writing news releases; (b) FTC publications; and (c) filling requests for information from members of the public; and

(2) Individual records that are of historical value may also be incorporated into System VII-6, Information Retrieval and Indexing System.

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

Storage:

Stored in file folders.

Retrievability:

Indexed by individual's name.

Safeguards:

Available to the public. Maintained in lockable file cabinets.

Retention and disposal:

Upon or shortly after departure from the Commission, records are destroyed or returned to the individual.

System manager and address:

Director, Office of Public Affairs, 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 about whom the record is maintained.

FTC-II-9

System name:

Claimants Under Federal Tort Claims Act and Military Personnel and Civilian Employees' Claims Act -- 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 have claimed reimbursement from FTC under Federal Tort Claims Act and Military Personnel and Civilian Employees' Claims Act.

Categories of records in the system:

Personal information relating to incidents in which the FTC may be liable for property damage, loss, or personal injuries.

Authority for maintenance of the system:

Federal Tort Claims Act; Military Personnel and Civilian Employees' Claims Act.

Purpose(s):

To consider claims made under the statutes; to investigate those claims; to determine appropriate responses to those claims; and to maintain records outlining all considerations and actions related to those claims.

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) Referred to Department of Justice, GSA, or other federal agency when the matter comes within the jurisdiction of such agency; and

(2) Used in discussions and correspondence with insurance companies, with other persons or entities that may be liable, with potential witnesses or others having knowledge of the matter.

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

Storage:

Stored in file folders.

Retrievability:

Indexed by individual's name.

Safeguards:

The files are stored in lockable file cabinets. Access restricted to those agency personnel whose responsibilities require access.

Retention and disposal:

The records are retained for 10 years after the matter has been resolved, then destroyed.

System manager and address:

Assistant General Counsel for Legal Counsel, 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 about whom the record pertains (claimant); FTC employee involved in incident; other FTC employees or other persons having knowledge of the circumstances; official police report (if any); and insurance company representing claimant (if any).

FTC-II-10

System name:

Employee Medical File -- 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.

Categories of records in the system:

Names, medical reports, opinions, evaluations and treatment information, and records resulting from the testing of the employee for use of illegal drugs under Executive Order 12564.

Authority for maintenance of the system:

Executive Order 12196 and 12564.

Purpose(s):

To maintain records concerning employee job-related medical treatment.

To provide an accurate medical history of the total health care and medical treatment received by the individual as well as job and/or hazard exposure documentation and health monitoring in relation to health status and claims of the individual. To provide a record of communications among members of the health care team who contribute to the patient's care. To provide a legal document describing the health care administered and any exposure incident.

To document employee's reporting of on-the-job injuries or unhealthy or unsafe working conditions, including the reporting of such conditions to OSHA and actions taken by the agency or by the Commission.

To ensure proper and accurate operation of the agency's employee drug testing program under Executive Order 12564.

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) Used to disclose information to the Department of Labor, Department of Veterans Affairs, Social Security Administration, or a national, state, or local social security type agency, when necessary to adjudicate a claim (filed by or on behalf of the individual) under a retirement, insurance, or health benefit program;

(2) Used to disclose information to a Federal, state, or local agency to the extent necessary to comply with laws governing reporting of communicable diseases;

(3) Used to disclose information to officials of the Merit Systems Protection Board including the Office of Special Counsel, the Federal Labor Relations Authority and its General Counsel, the Equal Employment Opportunity Commission, arbitrators, and hearing examiners to the extent necessary to carry out their authorized duties;

(4) Used to disclose information to health insurance carriers contracting with the Office of Personnel Management to provide health benefits plan under the Federal Employees Health Benefits Program information necessary to verify eligibility for payment of a claim for health benefits. To disclose information to the Office of Federal Employees Group Life Insurance that is relevant and necessary to adjudicate claims;

(5) Used to disclose information, when an individual to whom a record pertains is mentally incompetent or under other legal disability, to any person who is responsible for the care of the individual, to the extent necessary. To

disclose to the agency-appointed representative of an employee all notices, determinations, decisions, or other written communications issued to the employee, in connection with an examination ordered by the agency under:

(a) Medical evaluation (formerly Fitness for Duty) examinations procedures, or

(b) Agency-filed disability retirement procedures; and

(6) Used to disclose to a requesting agency, organization, or individual the home address and other information concerning those individuals who it is reasonably believed might have contracted an illness or been exposed to or suffered from a health hazard while employed in the Federal work force.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System:

Storage:

Stored in file folders.

Retrievability:

Indexed by individual's name.

Safeguards:

Maintained in lockable rooms and cabinets. Access restricted to those agency personnel who require access.

Retention and Disposal:

Records are retained indefinitely.

System Manager and Address:

Director, Division of Personnel, 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 about whom the records are maintained, treating physicians, staff of medical facilities, witness statements, and others.

FTC-II-11

System Name:

Personnel Security File -- 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 on whom Office of Personnel Management security investigations have been conducted.

Categories of Records in the System:

Names, security investigation reports, adjudication files, card files, and position sensitivity designation files.

Authority for Maintenance of the System:

Executive Order 10450.

Purpose(s):

To conduct personnel security investigations; to make determinations required based upon the results of those investigations; and to maintain records of the investigations and determinations.

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) Used to disclose to an agency in the executive, legislative, or judicial branch, in response to its request, information on the issuance of a security clearance or the conducting of a security or suitability investigation on individuals who, at the time the records are added to the system, were Commission employees.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System:

Storage:

Stored in file folders and on file cards.

Retrievability:

Indexed by individual's name.

Safeguards:

Maintained in combination locked safe and lockable metal file cabinets, in locked rooms. Access is restricted to Personnel Security staff. Investigation reports may be reviewed by an agency official (who has been subject to a favorable background investigation) on a strict need-to-know basis.

Retention and Disposal:

Investigation reports are retained for 15 years or until an employee separates from the agency. Records of adjudicative actions are maintained for two years.

System Manager and Address:

Security Officer, Division of Personnel, 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:

Office of Personnel Management Security Investigations Index, FBI Headquarters investigative files, fingerprint index of arrest records, Defense Central Index of Investigations, previous employers, references identified by record subject individual, school registrars, and responsive law enforcement agencies.

System Exempted from Certain Provisions of the Act:

Pursuant to 5 U.S.C. 552a(k)(5), records in this system 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, 15 CFR 4.13(m).

FTC-II-12

System Name:

Training Reservation 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 who registered to attend training courses offered by the Commission's Information Center.

Categories of Records in the System:

Employee identification number, course number, course title, course date and time, and attendance indicator.

Authority for Maintenance of the System:

Federal Trade Commission Act.

Purpose(s):

To provide information to agency managers necessary to indicate the training that has been requested and provided to individual employees; to determine course offerings and frequency; and to manage the training program administered by the Information Center.

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), records or information in these records may be specifically disclosed pursuant to 5 U.S.C. 552a(b)(3) as described in Appendix I of this notice, provided that no routine use specified therein shall be construed to limit or waive any other routine use.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System:

Storage:

Stored on computer disk and tape.

Retrievability:

Indexed by employee identification number.

Safeguards:

Access to computerized records controlled by "user id" and password combination and restricted to staff whose duties require access.

Retention and Disposal:

Records are retained indefinitely.

System Manager and Address:

Supervisor, Library, 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 about whom the record is maintained and Information Center staff responsible for the training program.

III. Financial Systems of Records

FTC-III-1

System Name:

Payroll Processing System -- FTC.

Security Classification:

Not applicable.

System Location:

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

General Services Administration, 1500 E. Bannister Road, Kansas City, Missouri 64131.

Categories of Individuals Covered by the System:

Individuals who, at the time the records are added to the system, are Commission employees.

Categories of Records in the System:

All payroll information on individual FTC employees, including basic employment information, pay and deduction information, and leave and tax information.

Authority for Maintenance of the System:

5 U.S.C. 1301.

Purpose(s):

To pay and compensate FTC employees properly in accordance with applicable laws and regulations and to maintain records of those payments.

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) Records identifying the work schedule of an individual may be made available to other staff and the public;
- (2) Referral of unemployment compensation information to state and local unemployment compensation boards; and
- (3) Referral of information to the Office of Personnel Management (OPM) concerning pay, benefits, retirement deductions, and other information necessary for OPM to carry out its government-wide personnel management functions.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System:

Storage:

Stored in comprehensive payroll file folders at the system location in Washington, DC, and on computer disk and tape at the General Services Administration.

Retrievability:

Indexed by social security number.

Safeguards:

Hardcopy records maintained in lockable rooms and access to computerized records controlled by "user id" and password combination. Access restricted to those agency personnel whose responsibilities require access.

Retention and Disposal:

Records are retained according to National Archives and Records Administration schedule of retention and disposal.

System Manager and Address:

Director, Division of Budget and Finance, 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:

Pay forms completed by individual about whom the records are maintained; agency personnel records.

FTC-III-2

System Name:

Payroll -- Retirement Records -- FTC.

Security Classification:

Not applicable

System Location:

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

General Services Administration, 1500 E. Bannister Road, Kansas City, Missouri 64131.

Categories of Individuals Covered by the System:

FTC employees who qualify for federal retirement benefits.

Categories of Records in the System:

Payroll information relating to retirement benefits.

Authority for Maintenance of the System:

5 U.S.C. 5301, 5501, 6101, 6301, and 8301.

Purpose(s):

To maintain and process payroll information relating to retirement benefits.

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) Used to calculate retirement benefits;

(2) Referred to Office of Personnel Management (OPM) upon retirement or resignation from federal service and answering employee inquiries regarding their retirement contributions while with the agency; and

(3) Referred to OPM concerning pay, benefits, retirement deductions, and other information, for OPM to carry out its government personnel management functions.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System:

Storage:

Stored on computer tape at the General Services Administration or at the FTC on individual cards for those not included in the regular payroll system.

Retrievability:

Indexed by social security number.

Safeguards:

Hardcopy records maintained in lockable rooms and access to computerized records controlled by "user ID" and password combination. Access restricted to those agency personnel whose responsibilities require access.

Retention and Disposal:

Records are held for length of service of employee while at FTC. Information forwarded to next employing agency or OPM upon separation from FTC.

System Manager and Address:

Director, Division of Budget and Finance, 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:

Payroll system; agency personnel and payroll records.

FTC-III-3

System Name:

Financial Management System -- FTC.

Security Classification:

Not applicable.

System Location:

Division of Budget and Finance, Federal Trade Commission, 6th Street and Pennsylvania Avenue, NW., Washington, DC 20580.

Categories of Individuals Covered by The System:

FTC employees and others who travel or otherwise might be involved in situations in which they would receive payment or reimbursement from the FTC.

Categories of Records in the System:

Name, home and work address, employee identification number, social security number, personal credit card number on supporting receipts.

Authority for Maintenance of the System:

5 U.S.C. 5701 et seq.

Purpose(s):

To maintain financial records concerning payment or reimbursement of expenses. These records are necessary to support and document expenses incurred in the performance of official agency duties.

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) Used in financial reports of the FTC.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System:

Storage:

Stored on magnetic disks and tape.

Retrievability:

Indexed by individual's name and employee identification number.

Safeguards:

Hardcopy records maintained in lockable cabinets and access to computerized records controlled by "user ID" and password combination. Access restricted to those agency personnel whose responsibilities require access.

Retention and Disposal:

Records are retained per National Archives and Records Administration schedule of retention and disposal.

System Manager and Address:

Director, Division of Budget and Finance, 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 about whom the record is maintained.

IV. Correspondence Systems of Records

FTC-IV-1

System Name:

Correspondence Control System -- FTC.

Security Classification:

Not applicable.

System Location:

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

Regional Offices:

Atlanta Regional Office, 1718 Peachtree Street, NW., Room 1000, Atlanta, Georgia 30367.

Boston Regional Office, 10 Causeway Street, Room 1184, Boston, Massachusetts 02222-1073.

Chicago Regional Office, 55 East Monroe Street, Suite 1437, Chicago, Illinois 60603.

Cleveland Regional Office, 668 Euclid Avenue, Suite 520-A, Cleveland, Ohio 44114.

Dallas Regional Office, 100 N. Central Expressway, Suite 500, Dallas, Texas 75201.

Denver Regional Office, 1405 Curtis Street, Suite 2900, Denver, Colorado 80202-2393.

Los Angeles Regional Office, 11000 Wilshire Boulevard, Suite 13209, Los Angeles, California 90024.

New York Regional Office, 150 William Street, Suite 1300, New York, New York 10038.

San Francisco Regional Office, 901 Market Street, Suite 570, San Francisco, California 94103.

Seattle Regional Office, 915 Second Avenue, 2806 Federal Building, Seattle, Washington 98174.

Categories of Individuals Covered by the System:

Individuals who communicate with the Commission to complain about the business practices of a company or

individual or request assistance in resolving a problem; individuals who, at the time the records are added to the system, are Commission employees assigned to process or respond to correspondence.

Categories of Records in the System:

Name and address of the individual who communicates with the Commission. The individual's letter and supporting documents (sometimes including social security and credit card numbers and other personal information). Information extracted from those letters and supporting documents. Name and employee identification number of staff member assigned to process or respond to letter.

Authority for Maintenance of the System:

Federal Trade Commission Act.

Purpose(s):

To maintain records of complaints and inquiries to enable the Commission to track and respond to correspondence; to identify consumer problems and issues that may lead to law enforcement investigations and litigations; to be incorporated into law enforcement investigations and litigations (when used in connection with law enforcement activities, also becomes part of System I-1, Investigational, Legal and Public Records); and to be abstracted to provide statistical data on the number and types of correspondence received by the agency.

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) May be referred to person, partnership, or corporation complained about or made available or referred to federal, state, or local government authorities for law enforcement purposes.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System:

Storage:

Stored in file folders and on magnetic disks and tape.

Retrievability:

Indexed by consumer's name, correspondence number, company complained about, FTC office receiving complaint, name of staff member assigned to the correspondence.

Safeguards:

Hardcopy records maintained in lockable rooms and cabinets and access to computerized records controlled by "user id" and password combination. Access restricted to those agency personnel whose responsibilities require access.

Retention and Disposal:

Letters retained for minimum of one year; automated information retained indefinitely.

System manager and address:

Supervisor, Information Management Branch, 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 about whom record is maintained and agency staff assigned to handle the correspondence.

V. Access Requests

FTC-V-1

System name:

Freedom of Information Act Requests and Appeals -- 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 filing requests for access to information under the Freedom of Information Act (FOIA); individuals who, at the time the records are added to the system, are Commission employees assigned to consider the requests.

Categories of records in the system:

Letters to and from the requesting party and agency documents generated or collected during the consideration of the request.

Authority for maintenance of the system:

Federal Trade Commission Act; Freedom of Information Act.

Purpose(s):

To consider requests for access to records under the Freedom of Information Act; to determine the status of requested records; to respond to the requests; to incorporate historically valuable records into System VII-6, Information Retrieval and Indexing System; and to maintain records outlining the consideration given to the requests.

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) Request and appeal letters, and agency letters responding thereto, are available to the public for inspection and copying.

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

Storage:

Copies of request and appeal letters, and agency responses thereto, are stored in binders that are available to the public. Original request letters, appeal letters (if any), agency responses, and related internal memoranda, are stored in folders and on microforms in lockable file cabinets. Automated data stored on magnetic disks and tape.

Retrievability:

Indexed by name of requesting party and subject matter of request.

Safeguards:

Requests, appeals, and responses available to the public. Nonpublic, hardcopy records maintained in lockable file cabinets and access to computerized records, controlled by "user id" and password combination. Access restricted to personnel whose responsibilities require access.

Retention and disposal:

Records retained indefinitely.

System manager and address:

Supervisor, FOIA/PA and Correspondence Branch, Information Management & Dissemination Division, Federal Trade Commission, 6th Street and Pennsylvania Avenue, NW., Washington, DC 20580.

Assistant General Counsel for Legal Counsel, 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 about whom the record is maintained and agency staff assigned to consider the access request.

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).

FTC-V-2

System name:

Privacy Act Requests and Appeals -- 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 filing requests for access to, correction of, or an accounting of disclosures of personal information contained in system of records maintained by the Commission, pursuant to the Privacy Act.

Categories of records in the system:

Letters to and from the requesting party and agency documents generated or collected during the consideration of the request.

Authority for maintenance of the system:

Federal Trade Commission Act; Privacy Act.

Purpose(s):

To consider requests for access to records under the Privacy Act; to determine the status of requested records; to respond to the requests; and to maintain records outlining the consideration given to the requests.

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), records and information in these records may be specifically disclosed pursuant to 5 U.S.C. 552a(b)(3) as described in Appendix I of this notice, provided that no routine use specified therein shall be construed to limit or waive any other routine use.

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

Storage:

Stored in file folders.

Retrievability:

Indexed by name of requesting party.

Safeguards:

Maintained in lockable offices and in lockable cabinets. Access restricted to those agency personnel whose responsibilities require access.

Retention and disposal:

Records are maintained according to retention schedules of the National Archives and Records Administration.

System manager and address:

Supervisor, FOIA/PA and Correspondence Branch, Information Management & Dissemination Division, Federal Trade Commission, 6th Street and Pennsylvania Avenue, NW., Washington, DC 20580.

Director, Division of Personnel, Federal Trade Commission, 6th Street and Pennsylvania Avenue, NW., Washington, DC 20580.

Assistant General Counsel for Legal Counsel, 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 about whom record is maintained and agency staff assigned to consider the request.

System exempted from certain provisions of the act:

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).

FTC-V-3

System name:

Public Information Requests 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 request copies of records that are part of the public record of the FTC; Individuals who, at the time the records are added to the system, are Commission employees assigned to respond to those requests.

Categories of records in the system:

Name, address, and business affiliation, if available, of the individual requesting copies of public records; information identifying the records requested and the quantity provided; employee identification number associated with the staff member assigned to respond to the request.

Authority for maintenance of the system:

Federal Trade Commission Act.

Purpose(s):

To respond to requests for copies of public records of the FTC; to maintain records of the handling of those requests; to provide information necessary to maintain an appropriate inventory of publications.

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), records and information in these records may be specifically disclosed pursuant to 5 U.S.C. 552a(b)(3) as described in Appendix I of this notice, provided that no routine use specified therein shall be construed to limit or waive any other routine use.

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

Storage:

Stored on magnetic disks or tape.

Retrievability:

Records retrieved by the name or address of the individual requesting copies of public records and by the employee identification number of the staff member responsible for handling the request.

Safeguards:

Access to computerized records controlled by "user id" and password combination; access restricted to personnel whose responsibilities require access.

Retention and disposal:

Records retained for up to one year after request is completed.

System manager and address:

Supervisor, Records Branch, 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:

Name, address, and business affiliation provided by subject individual; employee identification number provided by assigned staff member.

VI. Mailing List Systems of Records

FTC-VI-1

System name:

Mailing Lists -- FTC.

Security classification:

Not applicable.

System location:

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

Regional Offices:

Atlanta Regional Office, 1718 Peachtree Street, NW., Room 1000, Atlanta, Georgia 30367.

Boston Regional Office, 10 Causeway Street, Room 1184, Boston, Massachusetts 02222-1073.

Chicago Regional Office, 55 East Monroe Street, Suite 1437, Chicago, Illinois 60603.

Cleveland Regional Office, 668 Euclid Avenue, Suite 520-A, Cleveland, Ohio 44114.

Dallas Regional Office, 100 N. Central Expressway, Suite 500, Dallas, Texas 75201.

Denver Regional Office, 1405 Curtis Street, Suite 2900, Denver, Colorado 80202-2393.

Los Angeles Regional Office, 11000 Wilshire Boulevard, Suite 13209, Los Angeles, California 90024.

New York Regional Office, 150 William Street, Suite 1300, New York, New York 10038.

San Francisco Regional Office, 901 Market Street, Suite 570, San Francisco, California 94103.

Seattle Regional Office, 2806 Federal Building, 915 Second Avenue, Seattle, Washington 98174.

Categories of individuals covered by the system:

Individuals who have indicated an interest in receiving FTC materials or who are participants in matters under consideration at the FTC.

Categories of records in the system:

Contains some or all of the following: name, title, company or organization, and mailing address.

Authority for maintenance of the system:

Federal Trade Commission Act.

Purpose(s):

To assist the Commission in the distribution of documents and information to individuals who request such materials and to individuals who are served official documents during the course of a Commission proceeding.

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), records or information in these records

may be specifically disclosed pursuant to 5 U.S.C. 552a(b)(3) as described in Appendix I of this notice, provided that no routine use specified therein shall be construed to limit or waive any other routine use.

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

Storage:

Stored on magnetic disks and tapes.

Retrievability:

Indexed by individual's name.

Safeguards:

Access to records restricted by "user id" and password combination and limited to staff whose official duties require access.

Retention and disposal:

Records are retained until individual requests deletion or distribution of records from the associated matter is not anticipated.

System manager and address:

Supervisor, Information Management Branch, 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:

Individuals requesting Commission documents and information and staff members involved in Commission proceedings.

VII. Miscellaneous Systems of Records

FTC-VII-1

System name:

Automated Serials Routing 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:

Readers of FTC Library periodicals listed in the routing system.

Categories of records in the system:

Name and office location of the reader, employee identification number, and the name and number of the periodical.

Authority for maintenance of the system:

Federal Trade Commission Act.

Purpose(s):

To manage the routing of serials among FTC employees.

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), records or information in these records may be specifically disclosed pursuant to 5 U.S.C. 552a(b)(3) as described in Appendix I of this notice, provided that no routine use specified therein shall be construed to limit or waive any other routine use.

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

Storage:

Stored on magnetic disks and tape.

Retrievability:

Indexed by periodical number and employee identification number.

Safeguards:

Access to computerized records controlled by "user id" and password combination and restricted to staff whose duties require access.

RETENTION AND DISPOSAL:

Record maintained as long as reader wishes to be on the routing system.

SYSTEM MANAGER AND ADDRESS:

Supervisor, Library, 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 about whom the record is maintained.

FTC-VII-2

System name:

Employee Locator 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:

Current FTC employees.

Categories of records in the system:

Name, employee identification number, building code, office room number, office telephone, mail drop code, electronic mail user identification, and default printer designation.

Authority for maintenance of the system:

Federal Trade Commission Act.

Purpose(s):

To maintain records that will assist in locating and communicating with FTC employees; to identify mail locator listings used by mail room personnel; and to identify, in other Commission automated information systems, Commission staff names and locations.

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) Used to produce the FTC Directory which is used by all agency personnel and made available to the public; and

(2) Used to provide employee locator information to the public.

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

Storage:

All data stored on magnetic disks and tape; FTC Directory printed and distributed to staff and the public.

Retrievability:

Indexed by individual's name or employee identification number.

Safeguards:

Certain information is available to the public. Access to other information restricted to agency personnel whose responsibilities require access.

Retention and disposal:

Information is continuously updated; data is erased from the system after the individual is no longer employed by the Commission.

System manager and address:

Supervisor, Information Management Branch, 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 about whom the record is maintained; administrative officers.

FTC-VII-3

System name:

Computer Systems User Identification -- 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 and others with access to FTC computer systems.

Categories of records in the system:

Name; employee identification number; organization; systems to which individual has access; systems and services used; amount of time spent using each system; number of usage sessions; cost of some usage.

Authority for maintenance of the system:

Federal Trade Commission Act.

Purpose(s):

To monitor and control costs of usage of computer systems; to prepare budget requests for automated services; to

identify the need for and to conduct training programs; to monitor security on computer systems; and to add and delete users.

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), records or information in these records may be specifically disclosed pursuant to 5 U.S.C. 552a(b)(3) as described in Appendix I of this notice, provided that no routine use specified therein shall be construed to limit or waive any other routine use.

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

Storage:

Automated records stored on magnetic disks and tape; paper records stored in lockable file cabinets.

Retrievability:

Indexed by individual's name; employee identification number; and organization code.

Safeguards:

Access to computerized records controlled by "user id" and password combination. Access to all records restricted to agency personnel whose responsibilities require access.

Retention and disposal:

Computer records are retained indefinitely; summary annual paper reports are retained indefinitely and other paper reports are retained for one year.

System manager and address:

Director, Automated Systems Division, Federal Trade Commission, 6th Street and Pennsylvania Avenue, NW., Washington, DC 20580.

Supervisor, Information Management Branch, 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 about whom record is maintained; internal and external information systems that record usage.

FTC-VII-4

System name:

Standard Name 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 interact with the Commission, including: participants in Commission investigations, rulemaking, advisory, and law enforcement proceedings; parties requesting formal advisory opinions; consumers who received redress or who are entitled to redress pursuant to Commission or court orders; parties about whom complaints or inquiries are received; and other parties with whom the Commission interacts. (Businesses, proprietorships, or corporations are not covered by this Privacy Act System of Records.)

Categories of records in the system:

Name of individual and associated code.

Authority for maintenance of the system:

Federal Trade Commission Act.

Purpose(s):

To standardize presentation of names found in Commission information systems; and to determine codes that are to be recorded in other agency information systems.

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), records or information in these records may be specifically disclosed pursuant to 5 U.S.C. 552a(b)(3) as described in Appendix I of this notice, provided that no routine use specified therein shall be construed to limit or waive any other routine use.

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

Storage:

Stored on magnetic disks and tape and on microfiche.

Retrievability:

Indexed by individual's name and identification number.

Safeguards:

Access to view or add records available to all users of FTC automated information systems. Access to change records limited to agency personnel whose responsibilities require access.

Retention and disposal:

Records retained indefinitely.

System manager and address:

Supervisor, Information Management Branch, 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:

Agency staff and members of the public.

FTC-VII-5

System name:

Property Management 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 assigned responsibility for Commission physical resources.

Categories of records in the system:

Name of individual employee; employee identification number; property item assigned to individual; equipment maintenance information.

Authority for maintenance of the system:

Federal Trade Commission Act.

Purpose(s):

To maintain and control physical resources; to conduct routine and periodic maintenance on equipment; and to maintain and confirm an inventory of physical 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), records or information in these records may be specifically disclosed pursuant to 5 U.S.C. 552a(b)(3) as described in Appendix I of this notice, provided that no routine use specified therein shall be construed to limit or waive any other routine use.

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

Storage:

Automated records stored on magnetic disks and tape; paper records stored in lockable file cabinets.

Retrievability:

Indexed by employee name, employee identification number, and assigned organization.

Safeguards:

Access to automated records controlled by password. Access restricted to agency personnel whose responsibilities require access.

Retention and disposal:

Records are retained for the life of the physical resource.

System manager and address:

Chief, Office Systems Branch, 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 responsible for the equipment and staff responsible for maintaining the equipment.

FTC-VII-6

System name:

Information Retrieval and Indexing 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, including those who at the time the records are added to the system are Commission employees and others, who have written documents contained in Commission files.

Categories of records in the system:

Name of author and documents written by that individual.

Authority for maintenance of the system:

Federal Trade Commission Act.

Purpose(s):

To provide staff with access to individual documents that are needed for legal and economic research activities of

the Commission and to provide the public with access to individual documents outlining the actions and considerations of the Commission, individual Commissioners, and the staff.

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), records or information in these records may be specifically disclosed pursuant to 5 U.S.C. 552a(b)(3) as described in Appendix I of this notice, provided that no routine use specified therein shall be construed to limit or waive any other routine use.

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

Storage:

Stored on magnetic disks and tape and on microfiche.

Retrievability:

Indexed by author of the document.

Safeguards:

Access to nonpublic documents restricted, through the use of "user id" and password combination, to agency personnel whose responsibilities require access. Access to other documents available to the public.

Retention and disposal:

Records are retained indefinitely.

System manager and address:

Supervisor, Information Management Branch, 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:

FTC employees and others who submit documents to the Commission.

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).

FTC-VII-7

System name:

Service Order 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 who requested service related to the automated information equipment and systems available to the staff.

Categories of records in the system:

Records include employee name, organization code, telephone number, date of reported problem, nature of problem, and action taken to resolve problem.

Authority for maintenance of the system:

Federal Trade Commission Act.

Purpose(s):

To record the receipt of requests for service and the actions taken to resolve those requests; to provide agency management with information identifying trends in questions and problems for use in managing the Commission's hardware and software 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), records or information in these records may be specifically disclosed pursuant to 5 U.S.C. 552a(b)(3) as described in Appendix I of this notice, provided that no routine use specified therein shall be construed to limit or waive any other routine use.

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

Storage:

On computer disk and tape.

Retrievability:

Indexed by employee name and tracking number assigned to each service request.

Safeguards:

Access to computerize records controlled by "user id" and password combination and restricted to staff whose duties require access.

Retention and disposal:

Records are retained indefinitely.

System manager and address:

Director, Automated Systems 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 about whom the record is maintained and staff who responded to the request for service.

FTC-VII-8

System name:

Service Call 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 who requested service related to building maintenance and administrative support services.

Categories of records in the system:

Records include employee name, organization code, telephone number, date of reported problem, nature of problem, and action taken to resolve problem.

Authority for maintenance of the system:

Federal Trade Commission Act.

Purpose(s):

To record the receipt of requests for service and the actions taken to resolve those requests; to provide agency management with information identifying trends in questions and problems for use in managing the Commission's physical 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), records or information in these records may be specifically disclosed pursuant to 5 U.S.C. 552a(b)(3) as described in Appendix I of this notice, provided that no routine use specified therein shall be construed to limit or waive any other routine use.

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

Storage:

Stored on magnetic disks and tape.

Retrievability:

Indexed by employee name and tracking number assigned to each service request.

Safeguards:

Access to computerized records controlled by "user id" and password combination and restricted to staff whose duties require access.

Retention and disposal:

Records are retained indefinitely.

System manager and address:

Director, Division of Procurement and General Services, 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 about whom the record is maintained and staff who responded to the request for service.

Appendix I

In addition to the disclosures generally permitted under *5 U.S.C. 552a(b)*, and the routine uses specifically described in each system of records notice, records or information in the systems of records maintained by the Federal Trade Commission may be disclosed pursuant to *5 U.S.C. 552a(b)(3)* as follows, provided that no routine use specified herein shall be construed to limit or waive any other routine use specified either herein or in the text of the individual system of records notice:

(1) If the record has been appropriately incorporated into the records maintained in FTC System of Records II-6, Discrimination Complaint System -- FTC, the record may be disclosed under the routine uses associated with that system;

(2) May be disclosed to the National Archives and Records Administration for records management inspections conducted under authority of *44 U.S.C. 2904* and *2906*;

(3) May be disclosed to other agencies, offices, establishments, and authorities, whether federal, state, local, foreign, or self-regulatory (including, but not limited to organizations such as professional associations or licensing boards), authorized or with the responsibility to investigate, litigate, prosecute, enforce, or implement a statute, rule, regulation, or order, where the record of information by itself or in connection with other records or information:

(a) Indicates a violation or potential violation of law, whether criminal, civil, administrative, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, or

(b) Indicates a violation or potential violation of a professional, licensing, or similar regulation, rule, or order, or

otherwise reflects on the qualifications or fitness of an individual who is licensed or seeking to be licensed;

(4) May be disclosed to any source, private or governmental, to the extent necessary to secure from such source information relevant to and sought in furtherance of a legitimate investigation or audit;

(5) May be disclosed to any authorized agency component of the Federal Trade Commission, Department of Justice, or other law enforcement authorities, and for disclosure by such parties:

(a) To the extent relevant and necessary in connection with litigation in proceedings before a court or other adjudicative body, where (i) the United States is a party to or has an interest in the litigation, including where the agency, or an agency component, or an agency official or employee in his or her official capacity, or an individual agency official or employee whom the Department of Justice has agreed to represent, is or may likely become a party, and (ii) the litigation is likely to affect the agency or any component thereof; or

(b) To obtain advice, including advice concerning the accessibility of a record or information under the Privacy Act or the Freedom of Information Act;

(6) May be disclosed to a congressional office in response to an inquiry from the congressional office made at the request of the subject individual, but only to the extent that the record would be legally accessible to that individual;

(7) May be disclosed to debt collection contractors for the purpose of collecting debts owed to the government, as authorized under the Debt Collection Act of 1982, *31 U.S.C. 3718*, and subject to applicable Privacy Act safeguards;

(8) May be disclosed to a grand jury agent pursuant either to a federal or state grand jury subpoena, or to a prosecution request that such record be released for the purpose of its introduction to a grand jury, where the subpoena or request has been specifically approved by a court; and

(9) May be disclosed to the Office of Management and Budget (OMB) for the purpose of obtaining advice regarding agency obligations under the Privacy Act, or in connection with the review of private relief legislation pursuant to OMB Circular A-19.

Appendix II

Under the provisions of *5 U.S.C. 552a(d)* an individual may request notification as to whether a system of records contains records retrieved using his or her personal identifier, may request access to records in a system of records, and may contest the accuracy or completeness of records. Each of those actions may be initiated by the individual by mailing or delivering a written request bearing the individual's name, return address, and signature, addressed as follows:

Privacy Act Request

Deputy Executive Director for Planning and Information, Federal Trade Commission, 6th Street and Pennsylvania Avenue, NW., Washington, DC 20580

By direction of the Commission.

Donald S. Clark,

Secretary.

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