

- Important Notice 91.
- NSB Report on Graduate Education.
- Science and Engineering Indicators.
- Working Paper: "Federal Funding of Scientific Research."
- NSF Recompensation Policy.

#### Friday, November 14, 1997

##### Open Session (8:30 a.m.-11:30 p.m.)

- NSF Long Range Planning Review.
- Issues for Operating in Constrained Fiscal Environments.
- NSB Occasional Paper "Publicly Funded Research."
- Other Business.
- Adjourn.

**Marta Cehelsky,**

*Executive Officer.*

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BILLING CODE 7555-01-M

## NATIONAL SCIENCE FOUNDATION

### Privacy Act of 1974: Revisions to NSF Systems of Records: New Systems

**SUMMARY:** Pursuant to the Privacy Act of 1974 (5 U.S.C. 552a), the National Science Foundation (NSF) is providing notice of revisions to 13 existing systems and the planned creation of two new systems. These revisions to current systems are being made to include altered and new routine uses, and to more accurately reflect the records contained therein. They are reprinted in their entirety. System NSF-7, "Earnings and Tax Statement (W-2)" is being deleted. The records described therein are covered by a more comprehensive system, NSF-22, "NSF Payroll System." System NSF-41, "Dissertation Advisors File" is also being deleted. It is not longer being maintained.

The two new systems are:  
NSF-65, "NSF Vendor File," covers banking information used for direct deposit as required in the Debt Collection Improvement Act of 1996 to implement mandatory electronic payments for all obligations.

NSF-67, "Invention, Patent and Licensing Documents," covers invention disclosures, applications, and licenses submitted by NSF employees, grantees, and contractors.

In accordance with the requirements of the Privacy Act, NSF has provided a report on the proposed systems of records to the Director of OMB; the Chairman, Senate Committee on Governmental Affairs; and the Chairman, House Committee Government Reform and Oversight.

**DATES:** Sections 552a(e)(4) and (11) of Title 5 of the U.S. Code require that the public have thirty days to comment on

the routine uses of systems of records. The new routine uses that are the subject of this notice will take effect on December 5, 1997, unless modified by a subsequent notice to incorporate comments received from the public.

**COMMENTS:** Written comments should be submitted to Herman G. Fleming, NSF Privacy Act Officer, National Science Foundation, Division of Contracts, Policy and Oversight, 4201 Wilson Boulevard, Room 485, Arlington, VA 22230.

Dated: October 31, 1997.

**Herman G. Fleming,**  
*Privacy Act Officer.*

#### NSF-3

##### SYSTEM NAME:

Application and Account for Advance of Funds.

##### SYSTEM LOCATION:

National Science Foundation, Division of Financial Management, Voucher Unit, 4201 Wilson Boulevard, Arlington, VA 22230.

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

NSF current and former employees.

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

Name and address, amount requested, and voucher number.

##### AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

5 USC, Chapter 57; 31 USC 1512; Department of the Treasury Fiscal Requirements Manual.

##### PURPOSE(S):

Establish and maintain Foundation records on administrative control of funds relating to requests for advance of funds.

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

Information from this system may be disclosed to:

1. The Department of Treasury for payment of advance of funds.
2. Another Federal agency, a court, or a party in litigation before a court or in an administrative proceeding being conducted by a Federal agency when the Government is a party to the judicial or administrative proceeding.
3. The Department of Justice, to the extent disclosure is compatible with the purpose for which the record was collected, and is relevant and necessary to litigation or anticipated litigation in which one of the following is a party or has interest: (a) NSF or any of its components; (b) an NSF employee in his/her official capacity; (c) an NSF

employee in his/her individual capacity when the Department of Justice is representing or considering representing the employee; or (d) the United States, when NSF determines that litigation is likely to affect the Agency.

4. Contractors, grantees, volunteers, experts, advisors, and other individuals who perform a service to or work on or under a contract, grant, cooperative agreement, or other arrangement with or for the Federal government, as necessary to carry out their duties.

5. Representatives of the General Services Administration and the National Archives and Records Administration who are conducting records management inspections under the authority of 44 U.S.C. 2904 and 2906.

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

##### STORAGE:

Records are maintained electronically.

##### RETRIEVABILITY:

The records are retrieved by Social Security Number.

##### SAFEGUARDS:

NSF employs security guards. Building is locked during non-business hours when guard is not on duty. Room in which records are kept is locked during non-business hours. A password is needed for access to the computer system.

##### RETENTION AND DISPOSAL:

Destroyed four years after settlement of advance.

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

Director Division of Financial Management, National Science Foundation, 201 Wilson Boulevard, Arlington, VA 22230.

##### NOTIFICATION PROCEDURE:

The NSF Privacy Act Officer should be contacted in accordance with procedures found at 45 CFR part 613.

##### RECORD ACCESS PROCEDURES:

See "Notification" above.

##### CONTESTING RECORD PROCEDURES:

See "Notification" above.

##### RECORD SOURCE CATEGORIES:

Information is received from individual and his/her office.

##### SYSTEM EXEMPTIONS FROM CERTAIN PROVISIONS OF THE ACT:

None.

#### NSF-10

##### SYSTEM NAME:

Employee's Payroll Jacket.

**SYSTEM LOCATION:**

National Science Foundation,  
Division of Financial Management,  
Payroll Section, 4201 Wilson Boulevard,  
Arlington, VA 22230.

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

NSF current and former employees  
(including consultants).

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Personnel actions, Federal and State  
Withholding Certificates, Bond  
Authorizations, Health Benefit Forms,  
Life Insurance Forms, Allotment Forms,  
and other similar items related to an  
employee's pay and deductions.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. Part III, Government  
Organization and Employees;  
Department of the Treasury Fiscal  
Requirements Manual; GAO manual,  
Title 6—Pay, Leave and Allowances

**PURPOSE(S):**

This system enables the NSF to  
maintain all data which apply to the  
salary, taxes, benefits and withholdings  
of each NSF employee and consultant in  
a single location, and ensures that  
appropriate salary adjustments are  
made.

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

Information from this system may be  
disclosed to:

1. Health insurance carriers for  
identifying employees covered by plan.
2. Other agencies upon transfer of  
employee to identify charitable  
allotments.
3. Financial institutions for the  
purpose of direct deposit.
4. The Department of Treasury for the  
purpose of locating missing bonds or  
paychecks.
5. The Department of Treasury and to  
the taxing authorities in the employee's  
state of residence (W-4 Forms).
6. The NSF Payroll System, which is  
described in NSF-22. The routine uses  
listed there are also applicable to this  
record system.
7. Another Federal agency, a court, or  
a party in litigation before a court or in  
an administrative proceeding being  
conducted by a Federal agency when  
the Government is a party to the judicial  
or administrative proceeding.
8. The Department of Justice, to the  
extent disclosure is compatible with the  
purpose for which the record was  
collected and is relevant and necessary  
to litigation or anticipated litigation, in  
which one of the following is a party or  
has an interest: (a) NSF or any of its

components; (b) an NSF employee in  
his/her official capacity; (c) an NSF  
employee in his/her individual capacity  
when the Department of Justice is  
representing or considering representing  
the employee; or (d) the United States,  
when NSF determines that litigation is  
likely to affect the Agency.

9. Contractors, grantees, volunteers,  
experts, advisors, and other individuals  
who perform a service to or work on or  
under a contract, grant, cooperative  
agreement, or other arrangement with or  
for the Federal government, as necessary  
to carry out their duties.

10. The Office of Child Support  
Enforcement, Administration for  
Children and Families, Department of  
Health and Human Services Federal  
Parent Locator System (FPLS) and  
Federal Tax Offset system:

For use in locating individuals and  
identifying their income sources to  
establish paternity, establish and modify  
orders of support and for enforcement.

For release to the Social Security  
Administration for verifying social  
security numbers in connection with the  
operation of the FPLS by the Office of  
Child Support Enforcement.

For release to the Department of  
Treasury for purposes of administering  
the Earned Income Tax Credit Program  
(Section 12, Internal Revenue Code of  
1986) and verifying a claim with respect  
to employment in a tax return.

11. Representatives of the General  
Services Administration and the  
National Archives and Records  
Administration who are conducting  
records management inspections under  
the authority of 44 U.S.C. 2904 and  
2906.

12. Officials of labor organizations  
recognized under 5 U.S.C. chapter 71,  
when relevant and necessary to their  
duties of exclusive representation.

13. The Merit Systems Protection  
Board or the Office of the Special  
Counsel in connection with appeals,  
investigation of alleged or possible  
prohibited personnel practices, and  
such other function's promulgated in 5  
U.S.C. 1205 and 1206 or as may be  
authorized by law.

14. The Department of Labor in  
connection with an employee claim for  
compensation or an injury or illness.

15. The American Federation of  
Government Employees and Local 3403  
in connection with union dues paid by  
members.

16. To the extent any of these records  
are duplicative of those described in  
OPM/GOVT-1 (General Personnel  
Records), the routine uses described  
therein are also applicable.

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

Paper records maintained in file  
folder.

**RETRIEVABILITY:**

Alphabetically by last name of  
employee.

**SAFEGUARDS:**

NSF employs security guards.  
Building is locked during non-business  
hours when guard is not on duty. Room  
in which records are kept is locked  
during non-business hours.

**RETENTION AND DISPOSAL:**

Destroyed five years after termination  
of employment.

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

Director, Division of Financial  
Management, National Science  
Foundation, 4201 Wilson Boulevard,  
Arlington, VA 22230.

**NOTIFICATION PROCEDURE:**

The NSF Privacy Act Officer should  
be contacted in accordance with  
procedures found at 45 CFR part 613.

**RECORD ACCESS PROCEDURES:**

See "Notification" above.

**CONTESTING RECORD PROCEDURES:**

See "Notification" above.

**RECORD SOURCE CATEGORIES:**

NSF Personnel Office, and forms  
prepared by individual employees.

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

None.

**NSF-13****SYSTEM NAME:**

Fellowship Payroll.

**SYSTEM LOCATION:**

National Science Foundation,  
Division of Financial Management,  
Payroll Section, 4201 Wilson Boulevard,  
Arlington, VA 22230.

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

Fellows under certain NSF  
Fellowship Programs being paid directly  
by the Government.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Copies of fellowship award letter,  
acceptance form, starting certificates,  
and records of payments of stipends.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

42 U.S.C. 1861; Department of the  
Treasury Fiscal Requirements Manual;

GAO Manual, Title 6—Pay, Leave and Allowances.

**PURPOSES:**

This system enables the NSF to maintain all data that apply to the payment of fellowship payroll in a single location and ensures that appropriate payments are made.

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

Information from this system may be disclosed to:

1. The Department of Treasury for the purpose of issuing the payment directly to the financial account of the payee.

2. Financial institutions for purpose of direct deposit.

3. Another Federal agency, a court, or a party in litigation before a court or in an administrative proceeding being conducted by a Federal agency when the Government is a party to the judicial or administrative proceeding.

4. The Department of Justice, to the extent disclosure is compatible with the purpose for which the record was collected and is relevant and necessary to litigation or anticipated litigation, in which one of the following is a party or has an interest: (a) NSF or any of its components; (b) an NSF employee in his/her official capacity; (c) an NSF employee in his/her individual capacity when the Department of Justice is representing or considering representing the employee; or (d) the United States, when NSF determines that litigation is likely to affect the Agency.

5. Contractors, grantees, volunteers, experts, advisors, and other individuals who perform a service to or work on or under a contract, grant, cooperative agreement, or other arrangement with or for the Federal government, as necessary to carry out their duties.

6. Representatives of the General Services Administration and the National Archives and Records Administration who are conducting records management inspections under the authority of 44 U.S.C. 2904 and 2906.

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

**STORAGE**

Paper records maintained in file folders. Records are also maintained electronically.

**RETRIEVABILITY:**

Alphabetically by last name of Fellow.

**SAFEGUARDS:**

NSF employs security guards. Building is locked during non-business

hours when guard is not on duty. Room in which records are kept is locked during non-business hours.

**RETENTION AND DISPOSAL:**

Destroyed four years after termination of fellowship.

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

Director, Division of Financial Management, National Science Foundation, 4201 Wilson Boulevard, Arlington VA 22230.

**NOTIFICATION PROCEDURE:**

The NSF Privacy Act Officer should be contacted in accordance with procedures found at 45 CFR part 613.

**RECORD ACCESS PROCEDURES:**

See "Notification" above.

**CONTESTING RECORD PROCEDURES:**

See "Notification" above.

**RECORD SOURCE CATEGORIES:**

Information obtained from Fellow.

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

None.

**NSF-16**

**SYSTEM NAME:**

Individual Retirement Record (SF-2806.

**SYSTEM LOCATION:**

National Science Foundation, Division of Financial Management, Payroll Section, 4201 Wilson Boulevard, Arlington, VA 22230.

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

Current NSF employees.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Salary, grade, status changes, yearly and year to date retirement deductions.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 8401. Government Organization and Employees; Department of the Treasury Fiscal Requirements Manual; GAO Manual, Title 6—Pay, Leave and Allowances

**PURPOSE(S):**

This system enables the NSF to maintain all data that apply to the salary, and retirement withholdings of each NSF employee.

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

Information from the system may be disclosed to:

1. The Office of Personnel Management annually or when

employee separates from NSF to update employee retirements records. Personnel Management when employee separates from NSF.

2. Another Federal agency, a court, or a party in litigation before a court or in an administrative proceeding being conducted by a Federal agency when the Government is a party to the judicial or administrative proceeding.

3. The Department of Justice, to the extent disclosure is compatible with the purpose for which the record was collected and is relevant and necessary to litigation or anticipated litigation, in which one of the following is a party or has an interest: (a) NSF or any of its component; (b) an NSF employee in his/her official capacity; (c) an NSF employee in his/her individual capacity when the Department of Justice is representing or considering representing the employee; or (d) the United States, when NSF determines that litigation is likely to affect the Agency.

4. The contractors, grantees, volunteers, experts, advisors, and other individuals who perform a service to or work on or under a contract, grant, cooperative agreement, or other arrangement with or for the Federal government, as necessary to carry out their duties.

5. Representatives of the General Services Administration and the National Archives and Records Administration who are conducting records management inspections under the authority of 44 U.S.C. 2904 and 2906.

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

**STORAGE:**

Paper records maintained in file folders.

**RETRIEVABILITY:**

Employee's payroll number.

**SAFEGUARDS:**

NSF employs security guards. Building is locked during non-business hours when guard is not on duty. Room in which records are kept is locked during non-business hours.

**RETENTION AND DISPOSAL:**

Retained until employee is separated then transferred to OPM.

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

Director, Division of Financial Management.

**NOTIFICATION PROCEDURES:**

The NSF Privacy Act Officer should be contacted in accordance with procedures found at 45 CFR part 613.

**RECORD ACCESS PROCEDURES:**

See "Notification" above.

**CONTESTING RECORD PROCEDURES:**

See "Notification" above.

**RECORD SOURCE CATEGORIES:**

Information obtained from the Personnel Office on Payroll Summaries prepared every two weeks showing year-to-date amounts.

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

None.

**NSF-19****SYSTEM NAME:**

Medical Examination Records for Service in the Polar Regions.

**SYSTEM LOCATION:**

National Science Foundation, 4201 Wilson Boulevard, Arlington, VA 22230; Antarctic Support Associates (ASA) and subcontractors, 61 Inverness Drive East, Suite 300, Englewood, CO 80112; U.S. Antarctic facilities; Polar Ice Coring Office (PICO), University of Nebraska, Lincoln, Nebraska.

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

This system covers all individuals being considered for Antarctic assignment (under the auspices of the USAP), or for assignment to selected, isolated locations in the Arctic region. Individuals covered may include NSF and other government agency employees, civilian contract employees, personnel conducting the research supported by NSF or other entities, and members of the uniformed services supporting NSF's polar research programs.

**Note:** Records concerning current and former federal employees are also covered by OPM/GOVT-10.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Documents relating to pre-deployment physicals: Medical history, clinical test results (e.g., blood, urine analyses, EKGs); physical exam notes; dental exams, X-rays, dentist's notes; and notes by medical reviewers determining medical qualifications. Includes psychological screening records when performed on winter-over candidates, and any additional tests/evaluation associated with requests for medical waivers. Medical files, clinic notes, and associated records created in the course of providing medical treatment or consultation by any of the medical care providers in the Arctic or Antarctica.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

16 U.S.C. 2401, *et seq.*, 42 U.S.C. 1870, 44 U.S.C. 3101.

**PURPOSE(S)**

The National Science Foundation's Office of Polar Programs is responsible for ensuring that personnel traveling to Antarctica under the auspices of the United States Antarctic Program (USAP) meet certain medical standards, as outlined in 45 CFR part 675 (62 FR 31521 (June 10, 1997)). Those traveling to selected, isolated locations in the Arctic region must meet similar standards. Candidates for deployment must undergo a medical and dental examination to determine whether they are physically qualified for deployment. Candidates who anticipate spending the austral winter in Antarctica (where evacuation may be impossible) are subject to additional evaluation, including a determination of psychological adaptability to such an isolated environment. This medical screening process requires that certain medical records be generated on individuals participating in the USAP.

The records are used primarily for three purposes: (1) To determine the individual's fitness for Arctic/Antarctic assignment; (2) to assist in determining an appropriate course of medical/dental treatment should the individual seek medical care with any medical care provider while in the Arctic or Antarctica; and (3) to provide documentation for addressing quality of care issues associated with these medical functions.

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

Information from this system may be disclosed to:

1. Individuals involved in determining an individual's fitness for deployment, or in providing medical services or treatment. Such individuals include (a) designated medical care practitioners and their administrative support personnel involved in determining an individual's fitness for Arctic/Antarctic assignment, including waiver requests; and (b) medical care providers in NSF-supported stations and field camps in the polar regions where the individual is assigned;
2. The personal physician or examining physician of the individual about whom the records pertain when disclosure is necessary to obtain additional information necessary to make a determination on fitness, or provide medical treatment;
3. Medical experts either individually or as a panel to provide expertise and

advice on quality of medical care issues in the polar regions;

4. Representatives of employing organizations, including academic institutions, and investigators on a grant (if a prospective field team member has requested a waiver) to inform them whether an individual is approved for deployment or not.

5. An emergency point of contact designated by the individual when the individual seeking deployment is unreachable and additional information is needed to order to make a determination on a waiver request before deployment deadlines, or when necessary to provide medical treatment during deployment;

6. Federal, state, or local agencies, or foreign governments when disclosure is necessary to obtain records in connection with an investigation by the NSF;

7. Information from the system may be given to another Federal agency, a court, or a party in litigation before a court or in an administrative proceeding being conducted by a Federal agency when the Government is a party to the judicial or administrative proceeding, or when NSF determines that the litigation or proceeding is likely to affect the Agency.

8. The Department of Justice, to the extent disclosure is compatible with the purpose for which the record was collected and is relevant and necessary to litigation or anticipated litigation, in which one of the following is a party or has an interest: (a) NSF or any of its components; (b) an NSF employee in his/her official capacity; (c) an NSF employee in his/her individual capacity when the Department of Justice is representing or considering representing the employee; or (d) the United States, when NSF determines that litigation is likely to affect the Agency.

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

Paper records are kept in locked file cabinets or area with limited access. Records may also be prepared and maintained in electronic format with password protection.

**RETRIEVABILITY:**

The records are retrieved by the name of the individual or by the individual's social security number.

**SAFEGUARDS:**

These records are available only to those persons whose official duties require such access. They are kept in locked file cabinets or locations with

limited access. Electronic records are password protected.

#### RETENTION AND DISPOSAL:

Except for those records covered by OPM/GOVT-10, records are destroyed approximately eight years after the individual's last Antarctic or Arctic deployment.

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

Safety and Health Officer, Office of Polar Programs. Point of contact: Associate Program Manager for Safety and Health, Polar Research Support Section, Office of Polar Programs, Office of the Director, National Science Foundation, 4201 Wilson Boulevard, Room 755, Arlington, VA 22230.

#### NOTIFICATION PROCEDURE:

To determine whether this system of records contains a record pertaining to the requesting individual, write to the system manager at the above address.

#### RECORD ACCESS PROCEDURES:

See notification procedure.

#### CONTESTING RECORD PROCEDURES:

Individuals desiring to contest or amend information maintained in this system of records should write to the system manager at the above address.

#### RECORD SOURCE CATEGORIES:

Information in these records is obtained from individuals who intend to deploy to the Arctic or Antarctica and from personal physicians and medical examiners of the deploying individuals; from NSF staff and NSF records; and from non-NSF persons and records, to the extent necessary to carry out the duties described in the NSF Medical Examination procedures. All individuals desiring to deploy to the Arctic or Antarctica under the auspices of the National Science Foundation must provide the requested information.

#### SYSTEM EXEMPTIONS FROM CERTAIN PROVISIONS OF THE ACT:

None.

#### NSF-22

#### SYSTEM NAME:

NSF Payroll System.

#### SYSTEM LOCATION:

National Science Foundation, Division of Financial Management, Payroll Section, 4201 Wilson Boulevard, Arlington, VA 22230. Backup files are maintained at off-site location- First Federal Corporation, 4910 Massachusetts Avenue, NW, Suite 16, Washington DC 20016.

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

NSF current and former employees (including consultants).

#### CATEGORIES OF RECORDS IN THE SYSTEM:

Salary, grade, Social Security Number, home address, time and attendance and other related information.

#### AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

5 U.S.C. Chapters 55 and 63; Department of the Treasury Fiscal Requirements Manual; GAO Manual, Title 6—Pay, Leave and Allowances.

#### PURPOSE(S):

Computer System consisting of data base with all information necessary to prepare NSF payroll, purchase of savings bonds, compute leave balances, prepare W-2s, and other similar uses.

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

Information from this system may be disclosed to:

1. The Internal Revenue Service and the Social Security Administration, and other taxing authorities (including such authorities as the employees state of residence.)
2. The Department of Treasury for issuance of salary payments.
3. Financial organizations for the purpose of direct deposit.
4. The Department of Justice, to the extent disclosure is compatible with the purpose for which the record was collected, and is relevant and necessary to litigation or anticipated litigation, in which one of the following is a party or has an interest: (a) NSF or any of its components; (b) an NSF employee in his/her official capacity; (c) an NSF employee in his/her individual capacity when the Department of Justice is representing or considering representing the employee; or (d) the United States, when NSF determines that litigation is likely to affect the Agency.
5. Another Federal agency, a court, or a party in litigation before a court or in an administrative proceeding being conducted by a Federal agency when the Government is a party to the judicial or administrative proceeding
6. Contractors, grantees, volunteers, experts, advisors, and other individuals who perform a service to or work on or under a contract, grant, cooperative agreement, or other arrangement with or for the Federal government, as necessary to carry out their duties.
7. Representatives of the General Services Administration and the National Archives and Records Administration who are conducting

records management inspections under the authority of 44 U.S.C. 2904 and 2906.

8. Officials of labor organizations recognized under 5 U.S.C. chapter 71, when relevant and necessary to their duties of exclusive representation.

9. The Merit Systems Protection Board or the Office of the Special Counsel in connection with appeals, investigation of alleged or possible prohibited personnel practices, and such other function's promulgated in 5 U.S.C. 1205 and 1206 or as may be authorized by law.

10. The Department of Labor in connection with an employee claim for compensation or an injury or illness.

11. The American Federation of Government Employees and Local 3403 in connection with union dues paid by members.

12. The Office of Child Support Enforcement, Administration for Children and Families, Department of Health and Human Services Federal Parent Locator System (FPLS) and Federal Tax Offset system:

For use in locating individuals and identifying their income sources to establish paternity, establish and modify orders of support and for enforcement.

For release to the Social Security Administration for verifying social security numbers in connection with the operation of the FPLS by the Office of Child Support Enforcement.

For release to the Department of Treasury for purposes of administering the Earned Income Tax Credit Program (Section 12, Internal Revenue Code of 1986) and verifying a claim with respect to employment in a tax return.

13. To state unemployment agencies in connection with claims for unemployment benefits.

14. To the extent any of these records are duplicative of those described in OPM/GOVT-1 (General Personnel Records), the routine uses described therein are also applicable.

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

##### STORAGE:

Records are maintained electronically. Individual folders are also maintained on each employee.

##### RETRIEVABILITY:

May be retrieved by employee number, Social Security Number or last name.

##### SAFEGUARDS:

NSF security guards. Building is locked during non-business hours when guard is not on duty. Room in which

records are kept is locked during non-business hours. A password is needed to access the computer system.

**RETENTION AND DISPOSAL:**

Employee information is deleted at the end of the year in which employee leaves the Foundation. Cumulative information is kept on master tapes and maintained in NSF and at off-site location and destroyed after five years.

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

Director, Division of Financial Management, National Science Foundation, 4201 Wilson Boulevard, Arlington, VA 22230.

**NOTIFICATION PROCEDURE:**

The NSF Privacy Act Officer should be contacted in accordance with procedures found at 45 CFR part 613.

**RECORD ACCESS PROCEDURES:**

See "Notification" above.

**CONTESTING RECORD PROCEDURES:**

See "Notification" above.

**RECORD SOURCE CATEGORIES:**

Information is taken from forms prepared by individuals, the Personnel Office and Integrated Time and Attendance System (ITAS).

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

None.

**NSF-23****SYSTEM NAME:**

NSF Staff Biography.

**SYSTEM LOCATION:**

National Science Foundation, Office of Legislative and Public Affairs, 4201 Wilson Boulevard, Arlington, VA 22230.

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

Executive NSF staff (Division Directors and above).

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Biographical information, position held, education, memberships, and publications.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

44 U.S.C. 3101; 42 U.S.C. 1870

**PURPOSE(S):**

To disseminate senior level officials biographical information when requested.

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

Information from this system may be disclosed to newspapers, magazines, professional journals, and others.

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

Paper records maintained in file folders.

**RETRIEVABILITY:**

Alphabetically by last name of employee.

**SAFEGUARDS:**

Building employs security guard. Building is locked during non-business hours when guard is not on duty. Room in which records are kept is locked during non-business hours.

**RETENTION AND DISPOSAL:**

Records on individuals destroyed when they leave Foundation except in cases of extremely high level staff.

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

Director, Division of Public Affairs, Office of Legislative and Public Affairs, National Science Foundation, 4201 Wilson Boulevard, Arlington, VA, 22230.

**NOTIFICATION PROCEDURES:**

The NSF Privacy Act Officer should be contacted in accordance with procedures found at 45 CFR part 613.

**RECORD ACCESS PROCEDURES:**

See "Notification" above.

**CONTESTING RECORD PROCEDURES:**

See "Notification" above.

**RECORD SOURCE CATEGORIES:**

Information is received from individual.

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

None.

**NSF-24****SYSTEM NAME:**

Official Passports.

**SYSTEM LOCATION:**

National Science Foundation, Professional Travel Corporation (NSF Contractor) Room 275, 4201 Wilson Boulevard, Arlington VA 22230.

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

Current NSF employees, consultants and invited guests.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Date and place of birth, nationality, next of kin, height, color of hair and eyes, and photograph.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

42 U.S.C. 1870; 44 U.S.C. 3101.

**PURPOSE(S):**

To support official international visits by NSF staff, consultants and visitors.

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

Information from this system may be disclosed to:

1. Embassy for purpose of issuing visas.
2. The State Department for disposition when the passport expires or the employee leaves the Foundation.
3. Another Federal agency, a court, or a party in litigation before a court or in an administrative proceeding being conducted by a Federal agency when the Government is a party to the judicial or administration proceeding.
4. The Department of Justice, to the extent disclosure is compatible with the purpose for which the record was collected, and is relevant and necessary to litigation or anticipated litigation, in which one of the following is a party or has an interest: (a) NSF or of its components; (b) and NSF employee in his/her official capacity; (c) an NSF employee is his/her individual capacity when the Department of Justice is Representing or considering representing the employee; or (d) the United States, when NSF determines that litigation is likely the Agency.
5. Representatives of the General Services Administration and the National Archives and Records Administration who are conducting records management inspections under the authority of 44 U.S.C. 2904 and 2906.

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

Records are maintained in file folders and on diskettes and/or magnetic tapes.

**RETRIEVABILITY:**

Alphabetically by last name.

**SAFEGUARDS:**

NSF employs security guards. Building is locked during non-business hours when guard is not on duty. Room in which records are kept is locked during non-business hours. Passports are kept in locked filing cabinet.

**RETENTION AND DISPOSAL:**

Passports expire after five years and are then sent to the State Department for disposition. Should employee retire or leave the Foundation before passport expiration, the passport are, passports are returned to the State Department for proper disposition.

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

Director, Division of Financial Management, Nation Science Foundation, 4201 Wilson Boulevard, Arlington, VA 22230.

**NOTIFICATION PROCEDURE:**

The NSF Privacy Act Officer should be notified in accordance with procedures found at 45 CFR part 613.

**RECORD ACCESS PROCEDURES:**

See "Notification" above.

**CONTESTING RECORD PROCEDURES:**

See "Notification" above.

**RECORD SOURCE CATEGORIES:**

Information is received from individual.

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

None.

**NFS-34****SYSTEM NAME:**

Integrated Time and Attendance System (ITAS).

**SYSTEM LOCATION:**

National Science Foundation, Division of Financial Management, Payroll Section, 4201 Wilson Boulevard, Arlington, VA 22230. Paper copies may be maintained in individual offices.

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

NSF current and former employees (including consultants).

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Records include documents related to employee's attendance, leave, and overtime. It also includes Social Security Number.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C., Chapters 61 and 63; Department of the Treasury Requirements Manual; GAO manual, Title 6—Pay, Leave and Allowances

**PURPOSE(S):**

This system enables the NSF to maintain all data which apply to the time and attendance of each NSF employee. Information incorporated into the "NSF Payroll System," NSF-22.

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

Information from this systems may be disclosed to:

Information from this system is incorporated into the "NSF Payroll System" described in NSF-22. The routine uses listed in that system are also applicable to this system.

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

Records are maintained electronically.

**RETRIEVABILITY:**

Filed by NSF employee identification number during current pay year and alphabetically by last name, thereafter.

**SAFEGUARDS:**

NSF employs security guards. Building is locked during non-business hours when guard is not on duty. Room in which records are kept is locked during non-business hours. A password is needed to access the computer system.

**RETENTION AND DISPOSAL:**

Employee information is deleted at the end of the year in which employee leaves the Foundation. Cumulative information is kept on master tapes and maintained in NSF and at off-site location and destroyed after five years.

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

Director, Division of Financial Management, National Science Foundation, 4201 Wilson Boulevard, Arlington, VA 22230.

**NOTIFICATION PROCEDURES:**

The Privacy Act Officer should be contacted in accordance with procedures found at 45 CFR part 613.

**RECORD ACCESS PROCEDURES:**

See "Notification" above.

**CONTESTING RECORD PROCEDURES:**

See "Notification" above.

**RECORD SOURCES CATEGORIES:**

Information input by employee, verified by timekeeper and approved by supervisor in individual offices.

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

None.

**NSF-38****SYSTEM NAME:**

Visa Applications and Alien Application for Consideration of Waiver of Two-Year Foreign Residence Requirements—NSF.

**SYSTEM LOCATION:**

National Science Foundation, Division of International Programs, 4201 Wilson Boulevard, Arlington, VA 22230.

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

Aliens subject to conditions of section 212(e) of the Immigration and

Nationality Act, seeking waiver of two-year foreign residence requirements, in order to apply for immigrant or temporary worker status.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Curriculum vitae, next of kin, correspondence and employment data.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

Section 212(e) of the Immigration and Nationality Act.

**PURPOSES:**

To determine whether NSF supports the waiver request.

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

Information from this system may be released to:

1. The U.S. Information Agency, the agency responsible for issuing the visas.
2. The institution or organization requesting the waiver.
3. Contractors, grantees, volunteers and other individuals who perform a service to or perform on or under a contract, grant, cooperative agreement, or other arrangement for the Federal government, as necessary to carry out their duties.
4. Another Federal agency, a court, or a party in litigation before a court or in an administrative proceeding being conducted by a Federal agency when the Government is a party to the judicial or administrative proceeding.
5. The Department of Justice, to the extent disclosure is compatible with the purpose for which the record was collected, and is relevant and necessary to litigation or anticipated litigation, in which one of the following is a party or has an interest: (a) NSF or any of its components; (b) an NSF employee in his/her official capacity; (c) an NSF employee in his/her individual capacity when the Department of Justice is representing or considering representing the employee; or (d) the United States, when NSF determines that litigation is likely to affect the Agency.
6. Representatives of the General Services Administration and the National Archives and Records Administration who are conducting records management inspections under the authority of 44 U.S.C. 2904 and 2906.
7. NSF analysis and recommendation is released to the organization/institution requesting the waiver.

6. Representatives of the General Services Administration and the National Archives and Records Administration who are conducting records management inspections under the authority of 44 U.S.C. 2904 and 2906.

7. NSF analysis and recommendation is released to the organization/institution requesting the waiver.

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

Paper records in file folders.

**RETRIEVABILITY:**

Alphabetically by last name of alien.

**SAFEGUARDS:**

NSF employs security guards. Building is locked during non-business hours when guard is not on duty. Records are in locked rooms after business hours. Access is limited to persons whose official duties require their use.

**RETENTION AND DISPOSAL:**

Records are held at NSF approximately two years after close out of case.

Records are destroyed 10 years after close of alien case folder.

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

Director, Division of International Programs, National Science Foundation, 4201 Wilson Boulevard, Arlington, VA 22230.

**NOTIFICATION PROCEDURES:**

The NSF Privacy Act Officer should be contacted in accordance with procedures found at 45 CFR part 613.

**RECORD ACCESS PROCEDURES:**

See "Notification" above.

**CONTESTING RECORD PROCEDURES:**

See "Notification" above.

**RECORD SOURCE CATEGORIES:**

The individual and U.S. host institution (employer).

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

None.

**NSF-49****SYSTEM NAME:**

Frequent Traveler Profile.

**SYSTEM LOCATION:**

National Science Foundation, Professional Travel Corporation (NSF contractor) Room 275, 4201 Wilson Boulevard, Arlington, VA 22230.

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

National Science Foundation frequent travelers.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Home telephone numbers, credit card information, special accommodation requirements, passport numbers and issue dates, and travel preference information, including frequent flyer numbers.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

42 U.S.C. 1870; 44 U.S.C. 3101.

**PURPOSE(S):**

To assist travelers in their travel arrangements.

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

Information from this system may be disclosed to:

1. Airlines for contacting traveler after hours or on weekends when there are schedule changes.

2. Airlines and hotels for meeting special requirements (wheelchair, etc.)

3. Credit card information will be given to hotels to guarantee room reservations, when approved by traveler.

4. Another Federal agency, a court, or a party in litigation before a court or in an administrative proceeding being conducted by a Federal agency when the Government is a party to the judicial or administrative proceeding.

5. The Department of Justice, to the extent disclosure is compatible with the purpose for which the record was collected, and is relevant and necessary to litigation or anticipated litigation, in which one of the following is a party or has an interest: (a) NSF or any of its components; (b) an NSF employee in his/her official capacity; (c) an NSF employee in his/her individual capacity when the Department of Justice is representing or considering representing the employee; or (d) the United States, when NSF determines that litigation is likely to affect the Agency.

6. Contractors, grantees, volunteers, experts, advisors, and other individuals who perform a service to or work on or under a contract, grant, cooperative agreement, or other arrangement with or for the Federal government, as necessary to carry out their duties.

7. Representatives of the General Services Administration and the National Archives and Records Administration who are conducting records management inspections under the authority of 44 U.S.C. 2904 and 2906.

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

Records are maintained in contractor file folders. Also maintained on computer files.

**RETRIEVABILITY:**

Records are filed alphabetically by last name.

**SAFEGUARDS:**

NSF employs security guards. Building is locked during non-business hours when the guard is not on duty. Rooms in which records are kept are locked during non-business hours.

**RETENTION AND DISPOSAL:**

Profiles are destroyed when employees retire or leave the Foundation.

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

Director, Division of Administrative Services, National Science Foundation, 4201 Wilson Boulevard, Arlington, VA 22230.

**NOTIFICATION PROCEDURES:**

The NSF Privacy Act Officer should be contacted in accordance with procedures found at 45 CFR part 613.

**RECORD ACCESS PROCEDURES:**

See "Notification Procedures" above.

**CONTESTING RECORD PROCEDURES:**

See "Notification Procedures" above.

**RECORD SOURCE CATEGORIES:**

Information is received from individuals.

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

None.

**NSF-53****SYSTEM NAME:**

Public Transportation Subsidy Program.

**SYSTEM LOCATION:**

National Science Foundation, Office of Information and Resource Management, Division of Administrative Services, Arlington, VA 22230.

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

National Science Foundation full-time permanent employees, grades GS-10 and below, who participate in the program.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Names, social security numbers, grade level, issue dates and METRO vouchers.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

42 U.S.C. 1870; 44 U.S.C. 3101.

**PURPOSE(S):**

To assist in administration of the public transportation subsidy program. Serves as record of who received subsidy.

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

Information from this system may be disclosed to:

1. Other Federal agencies for use in evaluating the overall effectiveness of public transportation programs.  
2. Another Federal agency, a court, or a party in litigation before a court or in



an administrative proceeding being conducted by a Federal agency when the Government is a party to the judicial or administrative proceeding.

3. The Department of Justice, to the extent disclosure is compatible with the purpose for which the record was collected, and is relevant and necessary to litigation or anticipated litigation, in which one of the following is a party or has an interest: (a) NSF or any of its components; (b) an NSF employee in his/her official capacity; (c) an NSF employee in his/her individual capacity when the Department of Justice is representing or considering representing the employee; or (d) the United States, when NSF determines that litigation is likely to affect the Agency.

4. Contractors, grantees, volunteers, experts, advisors, and other individuals who perform a service to or work on or under a contract, grant, cooperative agreement, or other arrangement with or for the Federal government, as necessary to carry out their duties.

5. Representatives of the General Services Administration and the National Archives and Records Administration who are conducting records management inspections under the authority of 44 U.S.C. 2904 and 2906.

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

**STORAGE:**

Records are maintained in file folders and in a computer system at NSF.

**RETRIEVABILITY:**

Records are retrieved alphabetically by last name or by Social Security Number.

**SAFEGUARDS:**

NSF employs security guards. Building is locked during non-business hours when the guard is not on duty. Rooms in which records are kept are locked during non-business hours. Passwords are needed to access information in computer system.

**RETENTION AND DISPOSAL:**

Profiles used to determine eligibility will be deleted from the system when employee retires, leaves the Foundation, or is no longer eligible for the program. Records of distribution are kept for six years.

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

Director, Division of Administrative Services, National Science Foundation, 4201 Wilson Boulevard, Arlington, VA 22230.

**NOTIFICATION PROCEDURES:**

The NSF Privacy Act Officer should be contacted in accordance with procedures found at 45 CFR part 613.

**RECORD ACCESS PROCEDURES:**

See "Notification Procedures" above.

**CONTESTING RECORD PROCEDURES:**

See "Notification Procedures" above.

**RECORD SOURCE CATEGORIES:**

Information is gathered from the individual and from the NSF Personnel Data Base System.

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

None.

**NSF-57**

**SYSTEM NAME:**

NSF Delinquent Debtors' File.

**SYSTEM LOCATION:**

National Science Foundation, Division of Financial Management, Financial Statements Section, 4201 Wilson Boulevard, Arlington, VA 22230.

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

Employees, former employees, panelists, recipients of fellowship stipends and others owing money to the National Science Foundation.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Information varies depending on individual debtor. Normally, the name, Social Security Number, address, amount of debt or delinquent amount, basis of the debt, office referring debts, agency collection efforts, credit reports, debt collection letters, correspondence to or from the debtor relating to the debt and correspondence with employing agencies of debtors.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

Federal Claims Collection Act of 1966, Public Law 89-508; Debt Collection Act of 1982, Public Law 97-365, and E.O. 9397.

**PURPOSE(S):**

Information is used for the purpose of collecting moneys owed NSF arising out of any administrative or program activities or service administered by NSF. The file represents the basis for the debt and amount of debt and actions taken by NSF to collect the moneys owed under the debt. The credit report or financial statement provides an understanding of the individual's financial condition with respect to requests for deferments of payment.

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

Information from this system may be disclosed to:

1. The U.S. General Accounting Office (GAO), Department of Justice, United States Attorney, or other Federal agencies for further collection action on any delinquent account when circumstances warrant.

2. A commercial credit reporting agency for the purpose of either adding to a credit history file or obtaining a credit history file for use in the administration of debt collection.

3. A debt collection agency for the purpose of collection services to recover indebtedness owed to NSF.

4. Debtor's name, Social Security Number, the amount of debt owed, and the history of the debt may be disclosed to any Federal agency where the individual debtor is employed or receiving some form of remuneration for the purpose of enabling that agency to collect debts on NSF's behalf by administrative or salary offset procedures under the provisions of the Debt Collection Act of 1982 (Pub. L. 97-365).

5. Any other federal agency including but limited to, the Internal Revenue Service (IRS) pursuant to 31 U.S.C. 3720A, for the purpose of effecting an administrative offset against the debtor of a delinquent debt owed to NSF by the debtor.

6. The Internal Revenue Service by computer matching to obtain the mailing address of a taxpayer for the purpose of locating such taxpayer to collect or to compromise a Federal claim by NSF against the taxpayer pursuant to 26 U.S.C. 6103 (m)(20) and in accordance with 31 U.S.C. 3711, 3217 and 3718.

**Note:** Redislosures of a mailing address from the IRS may be made only for the purpose of debt collection, including to a debt collection agency in order to facilitate the collection or compromise of a Federal claim under the Debt Collection Act of 1982, except that a mailing address to a consumer reporting agency is for the limited purpose of obtaining a commercial credit report on the particular taxpayer. Any such address information obtained from the IRS will not be used or shared for any other NSF purpose or disclosed to another Federal, state, or local agency which seeks to locate the same individual for its own debt collection purpose.

7. Data base information consisting of debtor's name, Social Security Number, and amount owed may be disclosed to the Defense Manpower Data Center

(DMDC). Department of Defense, the U.S. Postal Service or to any other Federal, state, or local agency for the purpose of conducting an authorized computer matching program in compliance with the Privacy Act of 1974 (5 U.S.C. 552a), as amended, to identify and locate delinquent debtors in order to start a recoupment process on an individual basis of any debt owed NSF by the debtor arising out of any administrative or program activities or services administered by NSF.

8. Any creditor Federal agency seeking assistance in implementing administrative or salary offset procedures in the collection of unpaid financial obligations owed the United States government from an individual. An exception to this routine use is an individual's mailing address obtained from the IRS pursuant to 26 U.S.C. 6103(m)(2).

9. Another Federal agency, a court, or a party in litigation before a court or in an administrative proceeding being conducted by a Federal agency when the Government is a party to the judicial or administrative proceeding.

10. The Department of Justice, to the extent disclosure is compatible with the purpose for which the record was collected, and is relevant and necessary to litigation or anticipated litigation, in which one of the following is a party or has an interest: (a) NSF or any of its components; (b) an NSF employee in his/her official capacity; (c) an NSF employee in his/her individual capacity when the Department of Justice is representing or considering representing the employee; or (d) the United States, when NSF determines that litigation is likely to affect the Agency.

11. Contractors, grantees, volunteers, experts, advisors, and other individuals who perform a service to or work on or under a contract, grant, cooperative agreement, or other arrangement with or for the Federal government, as necessary to carry out their duties.

12. Representatives of the General Services Administration and the National Archives and Records Administration who are conducting records management inspections under the authority of 44 U.S.C. 2904 and 2906.

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

**STORAGE:**

Records are maintained electronically. Records are also maintained in file folders.

**RETRIEVABILITY:**

Records are retrieved by name or Social Security Number.

**SAFEGUARDS:**

These records are available only to those persons whose official duties require such access. Records are kept in limited access during duty hours and in locked cabinets at all other times.

**RETENTION AND DISPOSAL:**

Records are disposed of after ten years unless needed for an ongoing investigation in which case the record will be retained until no longer needed in the investigation.

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

Director, Division of Financial Management, National Science Foundation, 4201 Wilson Boulevard, Arlington, VA 22230.

**NOTIFICATION PROCEDURE:**

The Privacy Act Officer should be contacted in accordance with procedures found at 45 CFR part 613.

**RECORD ACCESS PROCEDURES:**

See "Notification" above.

**CONTESTING RECORD PROCEDURES:**

See "Notification" above.

**RECORD SOURCE CATEGORIES:**

Information in this system of records obtained from the individual, institution, award records, collection agencies, and other appropriate agencies, i.e., DMDC, IRS, GAO, USPS.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

None.

**NSF-65**

**SYSTEM NAME:**

NSF Vendor File

**SYSTEM LOCATION:**

National Science Foundation, Division of Financial Management, 4201 Wilson Boulevard, Arlington, VA 22230

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

Employees, former employees, other individuals and vendors who will receive electronic payment from the National Science Foundation for goods or services.

**CATEGORIES OF RECORD IN THE SYSTEM:**

Name, address, Social Security Number, and the banking information of the payee.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

The Debt Collection Improvement Act of 1996 provides authority for the National Science Foundation to

implement mandatory electronic payments for all obligations.

**PURPOSE(S):**

This system enables NSF to comply with the electronic payment provision of the Debt Collection Act of 1996.

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

Information from this system records may be released to:

1. The Department of Treasury for the purpose of issuing the payment directly to the financial account of the payee.

2. Financial organizations for the purpose of direct deposit.

3. The Department of Justice, to the extent disclosure is compatible with the purpose for which the record was collected, and is relevant and necessary to litigation or anticipated litigation, in which one of the following is a party or has an interest: (a) NSF or any of its components; (b) an NSF employee in his/her official capacity; (c) an NSF employee in his/her individual capacity when the Department of Justice is representing or considering representing the employee; or (d) the United States, when NSF determines that litigation is likely to affect the Agency.

4. Contractors, grantees, volunteers, experts, advisors, and other individuals who perform a service to or work on or under a contract, grant, cooperative agreement, or other arrangement with or for the Federal government, as necessary to carry out their duties.

5. Another Federal agency, a court, or a party in litigation before a court or in an administrative proceeding being conducted by a Federal agency when the Government is a party to the judicial or administrative proceeding.

6. Representatives of the General Services Administration and the National Archives and Records Administration who are conducting records management inspections under the authority of 44 U.S.C. 2904 and 2906.

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

**STORAGE:**

These records are maintained electronically.

**RETRIEVABILITY:**

These records are retrieved by name, Social Security Number or employee identification number.

**SAFEGUARDS:**

These records are available only to those persons whose official duties require such access. A password is

required for access to the computer system. Printed reports of the data have restricted access and are treated as confidential information.

**RETENTION AND DISPOSAL:**

Updated information automatically replaces the old information. File is accumulative and maintained permanently.

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

Director, Division of Financial Management.

**NOTIFICATION PROCEDURE:**

The NSF Privacy Act Officer should be contacted in accordance with procedures found at 45 CFR part 613.

**RECORD ACCESS PROCEDURES:**

See "Notification" procedures above.

**CONTESTING RECORD PROCEDURES:**

See "Notification" procedures above.

**RECORD SOURCE CATEGORIES:**

Information in this system of records obtained from the individual or payees.

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

None.

**NSF-67**

**SYSTEM NAME:**

Invention, patent and licensing documents.

**SYSTEM LOCATION:**

Office of the General Counsel, National Science Foundation, 4201 Wilson Boulevard, Room 1265, Arlington, VA 22230.

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

Employees of the National Science Foundation or its grantees or contractors who made inventions while employed by the Foundation or while performing NSF-assisted research.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

The system contains invention disclosures, patents and patent applications, and licenses submitted to NSF by its employees, grantees, and contractors, including inventor(s) name(s), identification of grantee or contractor, title and description of the invention, inventor(s) address(es) (if rights were waived to the inventor(s), associated patent prosecution and licensing documents.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

45 CFR part 650 Patents. Executive Order No. 9865, as amended, 35 U.S.C. 266 note, "Patent protection abroad of inventions resulting from research

financed by the Government," describing the Government-wide policy for obtaining foreign patent protection for inventions resulting from research conducted or financed by the Government; and Executive Order No. 10096, as amended, 35 U.S.C. 266 note, "Uniform Government Patent Policy for Inventions by Government Employees," describing Government-wide policy pertaining to inventions made by Government employees.

**PURPOSE(S):**

Records in this system are used to administer governmental rights to inventions made by NSF employees or during FSF-assisted research.

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

Information from this system may be disclosed to:

1. The Department of Justice and the Office of Management and Budget for consultation in processing Freedom of Information or Privacy Act requests.
2. The Department of Justice, to the extent disclosure is compatible with the purpose for which the record was collected and is relevant and necessary to litigation or anticipated litigation, in which one of the following is a party or has an interest: (a) NSF or any of its components; (b) an NSF employee in his/her official capacity; (c) an NSF employee in his/her individual capacity when the Department of Justice is representing or considering representing the employee; or (d) the United States, when NSF determines that litigation is likely to affect the Agency.
3. Federal Government contractors, grantees, consultants, volunteers, or other personal who have been engaged to assist the Government in the performance of a contract, grant, cooperative agreement, or other activity related to this system of records and who need to have access to the records in order to perform the activity.
4. Appropriate Federal, State, local or foreign agencies responsible for investigating, prosecuting, enforcing, or implementing a statute, rule, regulation or order, where there is an indication of a violation or potential violation of the statute, rule, regulation or order and the information disclosed is relevant to the matter.
5. For the purpose of obtaining patent protection for NSF-owned inventions and granting licenses for these patents, to: (a) Scientific personnel, both in NSF and other Government agencies and in non-Governmental organizations such as universities, who possess the expertise to understand the invention

and evaluate its importance as a scientific advance; (b) contract patent counsel and their employees and foreign contract personnel retained by the Foundation for patent searching and prosecution in both the United States and foreign patent offices; (c) all other Government agencies whom NSF contacts regarding the possible use, interest in, or ownership rights in NSF inventions; (d) prospective licensees or technology finders who may further make the invention available to the public through sale or use; (e) parties, such as supervisors of inventors, whom NSF contacts to determine ownership rights, and those parties contacting NSF to determine the Government's ownership; and (f) the United States and foreign patent offices involved in the filing of NSF patent applications.

6. Representatives of the General Services Administration and the National Archives and Records Administration who are conducting records management inspections under the authority of 44 U.S.C. 2904 and 2906.

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

**STORAGE:**

The records are stored in file folders, computer tapes, and computer discs.

**RETRIEVABILITY:**

Records are retrieved by name of the inventor, invention-disclosure number, NSF program, and institution.

**SAFEGUARDS:**

Data on computer files is accessed by password known only to authorized users, who are NSF or contractor employees involved in patenting and licensing of NSF-owned inventions or administering rights to inventions made with NSF assistance to which grantees, contractors, or inventors have retained principal rights. Access to information is thus limited to those with a need to know. Records are stored in a locked room or in locking file cabinets in file folders. During normal business hours, Office of General Counsel personnel regulate availability of the files. During evening and weekend the offices are locked and the building is closed.

**RETENTION AND DISPOSAL:**

Records will be retained and disposed of under the authority of Foundation procedures currently under development.

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

Patent Assistant, Office of General Counsel, National Science Foundation,

4201 Wilson Boulevard, Arlington, VA 22230

#### NOTIFICATION PROCEDURES:

The NSF Privacy Act Officer should be contacted in accordance with procedures found at 45 CFR part 613.

#### RECORD ACCESS PROCEDURES:

See "Notification Procedures" above.

#### CONTESTING RECORD PROCEDURES:

See "Notification Procedures" above.

#### RECORD SOURCE CATEGORIES:

Inventors and other collaborating persons, grantees, contractors; other Federal agencies; scientific experts from non-Government organizations; contract patent counsel and their employees and foreign contract personnel; United States and foreign patent offices; prospective licensees; and third parties whom NSF contacts to determine individual invention ownership or Government ownership.

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

None.

[FR Doc. 97-29267 Filed 11-4-97; 8:45 am]

BILLING CODE 7555-01-M

## NUCLEAR REGULATORY COMMISSION

[Docket No. 150-00005; License No. Colorado 580-1; EA 96-459]

### Western Colorado Testing, Inc., Grand Junction, CO; Order Imposing Civil Monetary Penalty

#### I

Western Colorado Testing, Inc., (WCTI or Licensee) is the holder of a General License pursuant to the provisions of 10 CFR 150.20(a). This authorizes any person who holds a specific license from an Agreement State to conduct the same activity in non-Agreement States subject to the provisions of 150.20(b). WCTI holds a specific license from the state of Colorado, an Agreement State, License No. 580-1.

#### II

An inspection of the Licensee's activities was conducted from October 11, 1996, through February 3, 1997, and an investigation was conducted from August 14, 1996, through January 8, 1997. The results of the inspection and investigation indicated that the Licensee had not conducted its activities in full compliance with NRC requirements. A written Notice of Violation and Proposed Imposition of Civil Penalty

(Notice) was served upon the Licensee by letter dated June 13, 1997. The notice states the nature of the violation, the provisions of NRC requirements that the Licensee had violated, and the amount of the civil penalty proposed for the violation.

The Licensee responded to the Notice in a letter dated July 16, 1997. In its response, the Licensee stated that facts of the case warrant a reconsideration of both the characterization of the violation (as willful) and the proposed civil penalty.

#### III

After consideration of the Licensee's response and the arguments for mitigation or reconsideration of the civil penalty contained therein, the NRC staff has determined, as set forth in the Appendix to this Order, that the violation occurred as stated and that the penalty proposed for the violation designated in the Notice should be imposed.

#### IV

In view of the foregoing and pursuant to Section 234 of the Atomic Energy Act of 1954, as amended (Act), 42 U.S.C. 2282, and 10 CFR 2.205, it is hereby ordered That:

The Licensee pay a civil penalty in the amount of \$2,500 within 30 days of the date of this Order, by check, draft, money order, or electronic transfer, payable to the Treasurer of the United States and mailed to Mr. James Lieberman, Director, Office of Enforcement, U.S. Nuclear Regulatory Commission, One White Flint North, 11555 Rockville Pike, Rockville, MD 20852-2738.

#### V

The Licensee may request a hearing within 30 days of the date of this Order. Where good cause is shown, consideration will be given to extending the time to request a hearing. A request for extension of time must be made in writing to the Director, Office of Enforcement, U.S. Nuclear Regulatory Commission, Washington, DC 20555, and include a statement of good cause for the extension. A request for a hearing should be clearly marked as a "Request for an Enforcement Hearing" and shall be addressed to the Director, Office of Enforcement, U.S. Nuclear Regulatory Commission, Washington, DC 20555, with a copy to the Commission's Document Control Desk, Washington, DC 20555. Copies also shall be sent to the Assistant General Counsel for Hearings and Enforcement at the same address and to the Regional Administrator, NRC Region IV, 611 Ryan Plaza Drive, Suite 400, Arlington, TX 76011.

If a hearing is requested, the Commission will issue an Order designating the time and place of the hearing. If the Licensee fails to request a hearing within 30 days of the date of this Order (or if written approval of an extension of time in which to request a hearing has not been granted), the provisions of this Order shall be effective without further proceedings. If payment has not been made by that time, the matter may be referred to the Attorney General for collection.

In the event the Licensee requests a hearing as provided above, the issue to be considered at such hearing shall be:

Whether on the basis of the violation admitted by the Licensee, this Order should be sustained.

Dated at Rockville, Maryland this 28th day of October 1997.

For the Nuclear Regulatory Commission.

**James Lieberman,**

*Director, Office of Enforcement.*

#### Appendix—Evaluation and Conclusions

On June 13, 1997, a Notice of Violation and Proposed Imposition of Civil Penalty (Notice) was issued for the violation identified during an NRC inspection and investigation. Western Colorado Testing, Inc., (WCTI or Licensee) responded to the Notice in a letter dated July 16, 1997. In its response, the Licensee stated that facts of the case warrant a reconsideration of both the characterization of the violation (as willful) and the proposed civil penalty. However, the Licensee did not dispute the violation in its response and, in its April 1, 1997 letter responding to the inspection report, admitted the violation. The NRC's evaluation of the Licensee's request and conclusion regarding the Licensee's requests are as follows:

#### *Summary of Licensee's Request for Mitigation*

WCTI stated that, although management was aware of the requirement to inform the NRC prior to working in areas under NRC jurisdiction, this fact alone does not justify designation of the violation as willful, and the corresponding penalty of \$2,500. In support of its position, the Licensee stated that the Radiation Safety Officer (RSO), who was "not as honest and forthright" as WCTI's president, had represented to WCTI's president that he filed the required Form 241; and that WCTI's president made every effort to ensure compliance with NRC requirements. WCTI also noted that its compliance efforts are reflected by the fact that there has never been any previous escalated enforcement action against it. WCTI pointed out that, according to the NRC's Enforcement Policy, previous escalated enforcement is a factor that is considered in assessing a civil penalty, and that this factor was not considered in the proposed assessment of the civil penalty.

WCTI noted that, in cases where the NRC concludes that no willful violation has occurred, and no escalated enforcement action has been taken within the two prior years or during the two prior inspections,