

Chapter PHS.H:45-13 of the General Administration Manual; the DHHS Automated Information Systems Security Program Handbook; and Appendix III to OMB Circular No. A-130.

RETENTION AND DISPOSAL:

Records will be retained for 6 years after the grant is closed, and then destroyed.

SYSTEM MANAGER(S) AND ADDRESS:

Director, Division of Disadvantaged Assistance, Bureau of Health Professions, Health Resources and Services Administration, Parklawn Building, Room 8A-09, 5600 Fishers Lane, Rockville, MD 20857.

NOTIFICATION PROCEDURE:

Requests must be made to the System Manager.

Requests in person: An individual who appears at the site where records are stored seeking access to or disclosure of records relating to him/her shall provide his/her name, current address, and at least one piece of identification such as driver's license, passport, voter registration card, or union card. Identification with a current photograph is preferred but not required. Additional identification may be requested when there is a request for access to records which contain an apparent discrepancy between information contained in the records and that provided by the individual requesting access to the records. No verification of identity shall be required where the record is one which is required to be disclosed under the Freedom of Information Act.

Requests by mail: Requests for information and/or access to records received by mail must contain information providing the identity of the writer and a reasonable description of the record desired. Written requests must contain the name and address of the requester, his/her date of birth and at least one piece of information which is also contained in the subject record, and his/her signature for comparison purposes.

Requests by telephone: Since positive identification of the caller cannot be established, telephone requests are not honored.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought. Individuals may also request an accounting of disclosure that may have been made of their records, if any.

CONTESTING RECORD PROCEDURE:

Contact the System Manager at the address specified above and reasonably identify the record, specify the information being contested, and state the corrective action and the reason(s) for requesting the correction, along with supporting justification to show how the record is inaccurate, incomplete, untimely, or irrelevant.

RECORD SOURCE CATEGORIES:

Institutions and organizations awarded grants.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

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DEPARTMENT OF HEALTH AND HUMAN SERVICES

Health Resources and Services Administration

Privacy Act of 1974; Annual Publication of Systems of Records

AGENCY: Health Resources and Services Administration, (HRSA), HHS.

ACTION: Publication of minor changes to system-of-records notices.

SUMMARY: In accordance with Office of Management and Budget Circular No. A-130, Appendix I, "Federal Agency Responsibilities for Maintaining Records About Individuals," HRSA is publishing minor changes to its notices of systems of records.

SUPPLEMENTARY INFORMATION: HRSA has completed the annual review of its systems of records and is publishing below those minor changes which affect the public's right or need to know, such as system deletions, title changes, and changes in the system location of records, or the addresses of systems managers. A major alteration was made to system-of-records notice 09-15-0054, "National Practitioner Data Bank for Adverse Information on Physicians and Other Health Care Practitioners, HHS/HRSA/BHPr," 62 FR 12653-12656, March 17, 1997.

Dated: March 3, 1998.

James J. Corrigan,

Acting Associate Administrator for Management and Program Support.

Table of Contents

The following table of contents lists all currently active Privacy Act systems of records maintained by the Health Resources and Services Administration:

- 09-15-0001 Division of Federal Occupational Health (FOH) Health Records, HHS/HRSA/BPHC.
- 09-15-0002 Record of Patients' Personal Valuables and Monies, HHS/HRSA/BPHC.
- 09-15-0003 Contract Physicians and Consultants, HHS/HRSA/BPHC.
- 09-15-0004 Federal Employee Occupational Health Data System, HHS/HRSA/BPHC.
- 09-15-0007 Patients Medical Records System PHS Hospitals/Clinics, HHS/HRSA/BPHC.
- 09-15-0028 PHS Clinical Affiliation Trainee Records, HHS/HRSA/BPHC.
- 09-15-0037 Public Health Service (PHS) and National Health Service Corps (NHSC) Scholarship/Loan Repayment Participant Records System, HHS/HRSA/BPHC.
- 09-15-0038 Disability Claims of the Nursing Student Loan Program, HHS/HRSA/BHPr.
- 09-15-0039 Disability Claims in the Health Professions Student Loan Program, HHS/HRSA/BHPr.
- 09-15-0042 Physician Shortage Area Scholarship Program, HRSA/HRSA/BPHC.
- 09-15-0044 Health Educational Assistance Loan Program (HEAL) Loan Control Master File, HHS/HRSA/BHPr.
- 09-15-0046 Health Professions Planning and Evaluation, HHS/HRSA/OA.
- 09-15-0054 National Practitioner Data Bank for Adverse Information on Physicians and Other Health Care Practitioners, HHS/HRSA/BHPr.
- 09-15-0055 Organ Procurement and Transplantation Network (OPTN) Data System, HHS/HRSA/OSP.
- 09-15-0056 National Vaccine Injury Compensation Program, HHS/HRSA/BHPr.
- 09-15-0057 Scholarships for the Undergraduate Education of Professional Nurses Grant Programs, HHS/HRSA/BHPr.
- 09-15-0058 Faculty Loan Repayment Program, HHS/HRSA/BHPr.
- 09-15-0059 Health Resources and Services Administration Correspondence Control System, HHS/HRSA/OMPS.

Changes

09-15-0001

SYSTEM NAME:

Division of Federal Occupational Health (FOH) Health Records, HHS/HRSA/BPHC.

Minor changes have been made to this system-of-records notice. The following category should be revised:

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SYSTEM MANAGER(S) AND ADDRESS:

Director, Division of Federal Occupational Health, Bureau of Primary Health Care, Health Resources and Services Administration, 4530 East West

Highway, 3rd Floor, Bethesda, MD 20814.

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09-15-0007

SYSTEM NAME:

Patients Medical Record System PHS Hospitals/Clinics, HHS/HRSA/BPHC. Minor changes have been made to this system-of-records notice. The following category should be revised:

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Appendix 2—Federal Records Centers

Federal Archives and Records Center, 380 Trapelo Road, Waltham, Massachusetts 02154. Area served: Maine, Vermont, New Hampshire, Massachusetts, Connecticut, and Rhode Island.

Federal Archives and Records Center, Military Ocean Terminal, Building 22, Bayonne, New Jersey 07002 (Closing in Spring of 1998). Area served: New York, New Jersey, Puerto Rico, the Virgin Islands, and the Panama Canal Zone.

Federal Records Center, Central Plains Region, 200 Space Center Drive, Lee's Summit, Missouri 64064 (Replacing Bayonne, New Jersey, center).

Federal Archives and Records Center, 5000 Wissahickon Avenue, Philadelphia, Pennsylvania 19144. Area served: Delaware and Pennsylvania east of Lancaster.

Washington National Records Center, 4205 Suitland Road, Suitland, Maryland 20409. Area served: District of Columbia, Maryland, Virginia, and West Virginia.

Federal Archives and Records Center, GSA, 1557 St. Joseph Avenue, East Point, Georgia 30344. Area served: North Carolina, South Carolina, Tennessee, Mississippi, Alabama, Georgia, Florida, and Kentucky.

Federal Archives and Records Center, GSA, 7358 South Pulaski Road, Chicago, Illinois 60629. Area served: Illinois, Wisconsin, and Minnesota.

Federal Records Center, 3150 Springbro Road, Dayton, Ohio 45439. Area served: Indiana, Michigan, and Ohio.

National Records Center (Civilian Personnel Records), 111 Winnebago Street, St. Louis, Missouri 63118. Area served: Greater St. Louis Area.

Federal Archives and Records Center, Post Office Box 6216, Fort Worth, Texas 76115. Area served: Texas, Oklahoma, Arkansas, Louisiana, and New Mexico.

Federal Archives and Records Center, 1000 Commodore Drive, San Bruno, California 94066. Area served: Nevada (except Clark County), California (except Southern California), and American Samoa.

Federal Archives and Records Center, Post Office Box 6719, Laguna Niguel, California 92677. Area served: Clark County, Nevada; Southern California (Counties of San Luis Obispo, Kern, San Bernardino, Santa Barbara, Ventura, Los Angeles, Riverside, Orange, Imperial, Inyo, and San Diego); and Arizona.

Federal Archives and Records Center, 6125 Sand Point Way, Seattle, Washington 98115. Area served: Washington, Oregon, Idaho, Alaska, Hawaii, and Pacific Ocean area (except American Samoa).

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09-15-0038

SYSTEM NAME:

Disability Claims of the Nursing Student Loan Program, HRSA/HRSA/BHPr.

Minor changes have been made to this system-of-records notice. The following category should be revised:

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SYSTEM MANAGER(S) AND ADDRESS:

Associate Division Director, Office for Campus Based Programs, Division of Student Assistance, Bureau of Health Professions, Health Resources and Services Administration, 5600 Fishers Lane, Room 8-34, Rockville, MD 20857.

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09-15-0039

SYSTEM NAME:

Disability Claims in the Health Professions Student Loan Program, HHS/HRSA/BHPr.

Minor changes have been made to this system-of-records notice. The following category should be revised:

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SYSTEM MANAGER(S) AND ADDRESS:

Associate Division Director, Office for Campus Based Programs, Division of Student Assistance, Bureau of Health Professions, Health Resources and Services Administration, 5600 Fishers Lane, Room 8-34, Rockville, MD 20857.

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09-15-0046

SYSTEM NAME:

Health Professions Planning and Evaluation, HHS/HRSA/OA.

A minor change has been made to this system-of-record notice. The following category should be revised:

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AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Authority is found in the following sections of the Public Health Service Act: Title III, Part D, Primary Health Care (42 U.S.C. 254b); Title VII, Health Research and Training Facilities and Training of Professional Health Personnel (42 U.S.C. 292); Title VIII, Nurse Education (42 U.S.C. 296k); Title XXVI (42 U.S.C. 300ff-11); section 241 (42 U.S.C. 238j); and section 301 (42 U.S.C. 241).

Authority is also found in section 401 of the Health Care Quality Improvement Act of 1986 (42 U.S.C. 11101 note).

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09-15-0055

SYSTEM NAME:

Organ Procurement and Transplantation Network (OPTN) Data System, HHS/HRSA/OSP.

Minor changes have been made to this system-of-records notice. The following categories should be revised:

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SAFEGUARDS:

1. *Authorized users:* Access is limited to authorized Health Resources and Services Administration (HRSA) and contract personnel responsible for administering the program. Authorized personnel include the System Manager and Project Officer, and the HRSA Automated Information System (AIS) Systems Security Officer; and the program managers who have responsibilities for implementing the program. Both HRSA and the contractor shall maintain current lists of authorized users

2. *Physical safeguards:* Magnetic tapes, disc packs, computer equipment, and hard-copy files are stored in areas where fire and life safety codes are strictly enforced. All automated and nonautomated documents are protected on a 24-hour basis in locked storage areas. Security guards perform random checks on the physical security of the records storage area. The contractor is required to maintain off site a complete copy of the system and all necessary files to run the computer organ donor-recipient match and update software.

3. *Procedural safeguards:* A password is required to access the terminal and a data set name controls the release of data to only authorized users. All users of personal information in connection with the performance of their jobs protect information from public view and from unauthorized personnel entering an unsupervised office. All authorized users must sign a nondisclosure statement. Access to records is limited to those staff members trained in accordance with the Privacy Act and Automated Data Processing (ADP) security procedures. The contractor is required to assure that the confidentiality safeguards of these records will be employed and that it complies with all provisions of the Privacy Act. All individuals who have access to these records must have the appropriate ADP security clearances. Privacy Act and ADP system security requirements are included in the contract. The HRSA Project Officer and the System Manager oversee compliance with these requirements. The HRSA authorized users will make visits to the

contractor's facilities to assure security and Privacy Act compliance.

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SYSTEM MANAGER(S) AND ADDRESS:

Chief, Operations and Analysis
Branch, Division of Organ
Transplantation, Office of Special
Programs, Health Resources and
Services Administration, 5600 Fishers
Lane, Room 7-18, Rockville, MD 20857.

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09-15-0056

SYSTEM NAME:

National Vaccine Injury
Compensation Program, HHS/HRSA/
BHPPr.

Minor changes have been made to this system-of-records notice. The following categories should be revised:

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CATEGORIES OF RECORDS IN THE SYSTEM:

Petition for compensation, including petitioner's name and name of person vaccinated if different from petitioner and all relevant medical records (including autopsy reports and slides, radiological films, and home videos, if any), appropriate assessments, evaluations, prognoses, and such other records and documents as are reasonably necessary for the determination of eligibility for and the amount of compensation to be paid to, or on behalf of, the person who suffered such injury or who died from the administration of the vaccine.

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

1. Disclosures may be made to a Congressional office from the record of an individual, in response to an inquiry from the Congressional office made at the written request of the individual.

2. In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Department of Justice (DOJ) has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have risen because of activities of the Public Health Service in connection with such individual, the Department may

disclose such records as it deems desirable or necessary to the DOJ to enable that Department to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

3. HRSA will contract with expert medical consultants for the purpose of obtaining advice on petitioner's eligibility for compensation. Relevant records may be disclosed to such consultants. The consultants shall be required to maintain Privacy Act safeguards with respect to such records and return all records to HRSA.

4. HRSA will release the petitioner's complete medical file and may release consultants' report to the DOJ and the Special Master of the U.S. Court of Federal Claims for adjudication of the compensation claim.

5. HRSA will disclose for publication in the **Federal Register** the name of the petitioner, the name of the person vaccinated, if not the petitioner, the city and State where the vaccine was administered and the U.S. Court of Federal Claims' Docket Number as required by the National Childhood Vaccine Injury Act.

6. Records may be disclosed to organizations deemed qualified by the Secretary for the purpose of evaluating the administration, process, or outcomes of the National Vaccine Injury Compensation Program (as required by Congress). The purpose of the disclosure is to document the extent to which the National Vaccine Compensation Program is satisfying the goals and objectives of its authorizing legislation, i.e., maintaining a system for compensating those who have been injured by a vaccine that is fair and expeditious. Organizations to which information is disclosed for this use shall be required to maintain Privacy Act safeguards with respect to such records.

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RETRIEVABILITY:

Retrieval is by (1) docket number assigned by the U.S. Court of Federal Claims, (2) the petitioner and/or name of person vaccinated, and (3) Social Security Number.

SAFEGUARDS:

1. *Authorized users:* Access is limited to the System Manager and authorized HRSA/BHPPr personnel responsible for administering the program. HRSA/BHPPr will maintain a current list of authorized users.

2. *Physical safeguards:* All files are stored in an electronic carriage filing system which can be locked and

secured during non-work hours; disk packs and computer equipment are retained in areas where fire and safety codes are strictly enforced. All automated and non-automated documents are protected on a 24-hour basis in security areas. Security guards perform random checks of the physical security of the record storage area.

3. *Procedural safeguards:* HRSA/BHPPr has established stringent safeguards in line with the sensitivity of the records. These include: Transmitting records to consultants by Federal Express, United Parcel Service, or other courier service to ensure that a signature is required upon receipt of the records; escorting visitors into areas where records are maintained; utilizing passwords for computer access; and securing areas where records are stored. A password is required to access the terminal and the data set name controls the release of data only to authorized users. All users of personal information in connection with the performance of their jobs protect information from public view and from unauthorized personnel entering an unsupervised office.

RETENTION AND DISPOSAL:

The records shall be disposed of by shredding twenty-five years after the termination of all administrative and judicial proceedings, determined by a final adjudication. Upon written notification to the Government, the petitioner shall have the right to reclaim the original medical records submitted to the Government, after the final adjudication.

SYSTEM MANAGER(S) AND ADDRESS:

Associate Administrator for Health Professions, Bureau of Health Professions, Health Resources and Services Administration, 5600 Fishers Lane, Room 8-05, Rockville, MD 20857.

NOTIFICATION PROCEDURE:

Requests must be made to the System Manager at the above address.

Request in person: A subject individual who appears in person seeking access or disclosure of records relating to him/her shall provide his/her name, current address, and at least one piece of tangible identification such as a driver's license, passport, voter registration card, or union card. Identification papers with current photographs are preferred but not required. Additional identification may be requested when there is a request for access to records which contain an apparent discrepancy between information contained in the records and that provided by the individual requesting access to the record. No

verification of identity shall be required where the record is one which is required to be disclosed under the Freedom of Information Act.

Requests by mail: To determine if a record exist about you, write to the System Manager. The request must contain the name and address of the individual, assigned court docket number (if known), and a written statement that the requester is the person he/she claims to be and that he/she understands that the request or acquisition of records pertaining to another individual, under false pretenses, is a criminal offense subject to a \$5000 fine.

Requests by telephone: Since positive identification of the caller cannot be established, telephone requests are not honored.

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09-15-0057

SYSTEM NAME:

Scholarships for the Undergraduate Education of Professional Nurses Grant Programs, HHS/HRSA/BHPr.

Minor changes have been made to this system-of-records notice. The following categories should be revised:

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PURPOSE(S):

- 1. To maintain all information relative to the application for an awarding of scholarship(s) to an individual.
2. To monitor recipient's continued eligibility.
3. To monitor recipient's employment in nursing shortage areas in fulfillment of recipient's service obligations.
4. To monitor all repayment actions until the repayment obligation is satisfied.

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SYSTEM MANAGER(S) AND ADDRESS:

Associate Division Director, Office for Campus Based Programs, Division of Student Assistance, Bureau of Health Professions, Health Resources and Services Administration, 5600 Fishers Lane, Room 8-34, Rockville, MD 20857.

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09-15-0058

SYSTEM NAME:

Faculty Loan Repayment Program, HHS/HRSA/BHPr.

Minor changes have been made to this system-of-record notice. The following categories should be revised:

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SYSTEM LOCATION:

Division of Student Assistance, Bureau of Health Professions, Health

Resources and Services Administration, 5600 Fishers Lane, Room 8A-09, Rockville, MD 20857.

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AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Public Health Service Act, as amended, section 738 (42 U.S.C. 294cc). This section authorizes the establishment of a program for entering into contract with individuals from disadvantaged backgrounds for repayment of educational loans in exchange for teaching services.

SAFEGUARDS:

1. Authorized users: Personnel of the Division of Student Assistance and other components of the Health Resources and Services Administration.

2. Physical safeguards: Magnetic tapes, microfilms, disk packs, computer equipment, and hard copy files are stored in areas where fire and life safety codes are strictly enforced. Twenty-four hour, seven-day security guards perform random checks on the physical security of the data. All documents are protected during lunch hours and nonworking hours in locked file cabinets or locked storage areas.

3. Procedural and technical safeguards: A password is required to access the terminal, and a software security system controls the release of data to only authorized users. All users of personal information in connection with the performance of their jobs protect information from public view and from unauthorized personnel entering an unsupervised area. Access to records is strictly limited to those staff members trained in accordance with the Privacy Act.

4. Implementation guidelines: DHHS Chapter 45-13 and supplementary Chapter PHS.hf: 45-13 of the General Administration Manual; and the Department's Information Systems Security Handbook.

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SYSTEM MANAGER(S) AND ADDRESS:

Director, Division of Student Assistance, Bureau of Health Professions, Health Resources and Services Administration, 5600 Fishers Lane, Room 8A-09, Rockville, MD 20857.

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09-15-0059

SYSTEM NAME:

Health Resources and Services Administration Correspondence Control System, HHS/HRSA/OMPS.

Minor changes have been made to this system-of-records notice. The following categories should be revised:

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SYSTEM LOCATION:

Executive Secretariat, Division of Policy Review and Coordination, Office of Management and Program Support, Health Resources and Services Administration (HRSA), 5600 Fishers Lane, Room 14A-08, Rockville, MD 20857.

Office of Program Support, Bureau of Health Professions, HRSA, 5600 Fishers Lane, Room 8-15, Rockville, MD 20857.

Executive Secretariat, Office of Program Support, HIV/AIDS Bureau, HRSA, 5600 Fishers Lane, Room 7-08, Rockville, MD 20857.

Office of Program and Policy Development, Bureau of Primary Health Care, HRSA, 4350 East West Highway, Room 7-2B3, Bethesda, MD 20814.

Office of the Director, Maternal and Child Health Bureau, HRSA, 5600 Fishers Lane, Room 18-05, Rockville, MD 20857.

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

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SYSTEM MANAGER(S) AND ADDRESS:

Policy Coordinator: Director, Division of Policy Review and Coordination, Office of Management and Program Support, Health Resources and Services Administration (HRSA), 5600 Fishers Lane, Room 14A-08, Rockville, MD 20857.

System Manager: Chief, Executive Secretariat, Division of Policy Review and Coordination, Office of Management and Program Support, HRSA, 5600 Fishers Lane, Room 14A-08, Rockville, MD 20857.

System Manager: Executive Secretariat, Office of Program Support, HIV/AIDS Bureau, HRSA, 5600 Fishers Lane, Room 7-08, Rockville, MD 20857.

System Manager: Information Systems Specialist, Office of Program and Policy Development, Bureau of Primary Health Care, HRSA, 4350 East West Highway, Room 7-2B3, Bethesda, MD 20814.

System Manager: Correspondence Coordinator, Office of the Director, Maternal and Child Health Bureau, HRSA, 5600 Fishers Lane, Room 18-05, Rockville, MD 20857.

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