

**RECORD SOURCE CATEGORIES:**

Information in these records is initially supplied by persons who contact the Commission. The Commission may solicit additional or verifying information from those persons or from other persons who were identified as victims.

**SYSTEM NAME**

**CPSC-7, ENFORCEMENT AND INVESTIGATION FILES**

**SYSTEM LOCATION:**

Office of Compliance and Field Operations, Office of Import Surveillance and Inspection, and Office of the General Counsel, Consumer Product Safety Commission, 4330 East West Highway, Bethesda, MD 20814.

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

Individuals who are the authors or recipients of, or mentioned in, documents received by, or generated by, the Consumer Product Safety Commission in preparation for, or the conduct of, potential or actual administrative or judicial enforcement actions, and individuals mentioned in such documents.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Memoranda, correspondence, test reports, injury reports, notes, and any other documents relating to the preparation for, or conduct of, potential or actual administrative or judicial enforcement actions. The materials may contain personal information as well as purely legal and technical information.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

15 U.S.C. 1194, 1195, 1196, 1264, 1265, 2069, 2070.

**PURPOSE(S):**

These files are used by Commission attorneys, compliance officers, and supporting technical staff investigating product hazards and enforcing the Commission's statutory authority.

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

1. These records may be cited and quoted in the course of enforcement negotiations, and in pleadings filed with an adjudicative body and served on opposing counsel.
2. They may be disclosed to the Department of Justice in connection with the conduct of litigation.
3. Disclosure may be made to appropriate agencies, entities, and persons when (1) CPSC suspects or has confirmed that the security or confidentiality of information in the

system of records has been compromised; (2) CPSC has determined that as a result of the suspected or confirmed compromise there is a risk of harm to the security or integrity of this system or other systems or programs (whether maintained by CPSC or another agency or entity) that rely upon the compromised information; and (3) the disclosure made to such agencies, entities, and persons is reasonably necessary to assist in connection with the CPSC's efforts to respond to the suspected or confirmed compromise and prevent, minimize, or remedy such harm.

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

Records are stored in file folders or computer files or both.

**RETRIEVABILITY:**

Paper records may be filed by and retrievable by name of the document's author or addressee or by other indicia. Computer records are indexed by, and retrievable by the names and other indicia of authors and addressees, and may permit retrieval by names elsewhere in documents.

**SAFEGUARDS:**

Paper records are kept in secure areas. Computer records are protected by passwords available only to staff with a need to know.

**RETENTION AND DISPOSAL:**

Records are kept indefinitely.

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

General Counsel; Director, Office of Compliance and Field Operations; and Director, Office of Import Surveillance and Inspection, Consumer Product Safety Commission, 4330 East West Highway, Bethesda, MD 20814.

**NOTIFICATION PROCEDURE:**

Freedom of Information/Privacy Act Officer, Office of the Secretariat, Consumer Product Safety Commission, 4330 East West Highway, Bethesda, MD 20814.

**RECORD ACCESS PROCEDURES:**

Same as notification.

**CONTESTING RECORD PROCEDURES:**

Same as notification.

**RECORD SOURCE CATEGORIES:**

These records come from organizations and individuals under investigation; from Commission attorneys, compliance officers, investigators, and supporting technical

staff; and from other sources of information relevant to an investigation or adjudication.

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

All portions of this system of records which fall within 5 U.S.C. 552a(k)(2) (investigatory materials compiled for law enforcement purposes) are exempt from 5 U.S.C. 552a(c)(3), (mandatory accounting of disclosures); 5 U.S.C. 552a(d), (access by individuals to records that pertain to them); 5 U.S.C. 552a(e)(1), (requirement to maintain only such information as is relevant and necessary to accomplish an authorized agency purpose); 5 U.S.C. 552a(e)(4)(G), (mandatory procedures to notify individuals of the existence of records pertaining to them); 5 U.S.C. 552a(e)(4)(H), (mandatory procedures to notify individuals how they can obtain access to and contest records pertaining to them); and 5 U.S.C. 552a(e)(4)(I), (mandatory disclosure of record source categories); as well as the Commission's regulations in 16 CFR Part 1014 which implement these statutory provisions.

**SYSTEM NAME**

**CPSC-9, GENERAL COUNSEL TRACKING SYSTEM**

**SYSTEM LOCATION:**

Office of the General Counsel, Consumer Product Safety Commission, 4330 East West Highway, Bethesda, MD 20814.

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

Attorneys working in the Office of the General Counsel.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Descriptions and dates of assignments; comments; starting and completion dates; due dates; names of attorneys to whom assignments are given; names of divisions within the Office of the General Counsel.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

44 U.S.C. 3101; 15 U.S.C. 2051 et seq.; 16 CFR 1000.14.

**PURPOSE(S):**

To manage the workflow in the Office of the General Counsel; to assure timely completion of assignments; to respond to queries from other units of the Consumer Product Safety Commission; to assist in evaluating attorney performance.

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

Disclosure may be made to appropriate agencies, entities, and

persons when (1) CPSC suspects or has confirmed that the security or confidentiality of information in the system of records has been compromised; (2) CPSC has determined that as a result of the suspected or confirmed compromise there is a risk of harm to the security or integrity of this system or other systems or programs (whether maintained by CPSC or another agency or entity) that rely upon the compromised information; and (3) the disclosure made to such agencies, entities, and persons is reasonably necessary to assist in connection with the CPSC's efforts to respond to the suspected or confirmed compromise and prevent, minimize, or remedy such harm.

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

**STORAGE:**

Records are maintained by a computer database management system. Hard copy printouts of selected groups of records are made from time to time.

**RETRIEVABILITY:**

Records are retrievable by any field, including attorney name.

**SAFEGUARDS:**

Access to the records, and to fields within the records, is controlled by passwords. Records are accessible by all Office of the General Counsel staff, but not by others. Only supervisory staff may create records, assign or extend due dates, or enter completion dates.

**RETENTION AND DISPOSAL:**

Records are kept indefinitely.

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

General Counsel, Consumer Product Safety Commission, 4330 East West Highway, Bethesda, MD 20814.

**NOTIFICATION PROCEDURE:**

Freedom of Information/Privacy Act Office, Office of the Secretariat, Consumer Product Safety Commission, 4330 East West Highway, Bethesda, MD 20814.

**RECORD ACCESS PROCEDURES:**

Same as notification.

**CONTESTING RECORD PROCEDURES:**

Same as notification.

**RECORD SOURCE CATEGORIES:**

Information in these records is supplied by the attorneys themselves and by supervisors.

**SYSTEM NAME**

**CPSC-10, PROCUREMENT SYSTEM**

**SYSTEM LOCATION:**

Division of Procurement Services, Consumer Product Safety Commission, 4330 East West Highway, Bethesda, MD 20814.

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

Individuals, non-incorporated, who sell goods or services to the Consumer Product Safety Commission.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Contracts, proposals, purchase orders, correspondence and other documents related to specific procurements from individuals functioning as business entities. These records may include social security number (when used as business tax ID), home address, and home telephone number when these contact points are used for business purposes. Documents related to procurements from corporations, partnerships, or other such business entities are not included in this system of records.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

15 U.S.C. 2076.

**PURPOSE(S):**

These records support all facets of the Commission's procurement activities.

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

1. To the U.S. Department of Justice when related to litigation or anticipated litigation.
2. To the appropriate Federal, State, or local investigation or enforcement agency when there is an indication of a violation or potential violation of statute or regulation in connection with procurement.
3. To a Congressional office in response to an inquiry made at the request of the individual who is the subject of the record.
4. To the U.S. Government Accountability Office in the event of a procurement protest involving the individual.
5. To the Office of Financial Management in an effort to properly process payment of invoices.
6. To the Office of the Secretariat, Freedom of Information Officer, to properly process incoming FOIA requests in accordance with the Freedom of Information Act.
7. Disclosure may be made to appropriate agencies, entities, and persons when (a) the CPSC suspects or has confirmed that the security or

confidentiality of information in the system of records has been compromised; (2) CPSC has determined that as a result of suspected or confirmed compromise there is a risk of harm to the security or integrity of this system or other systems or programs (whether maintained by CPSC or another agency or entity) that rely upon the compromised information; and (3) the disclosure made to such agencies, entities, and persons is reasonably necessary to assist in connection with the CPSC's efforts to respond to the suspected or confirmed compromise and prevent, minimize, or remedy such harm.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

*Disclosures pursuant to 5 U.S.C. 552a(b)(12).* Pursuant to 5 U.S.C. 552a(b)(12), disclosures may be made to a consumer reporting agency as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

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

**STORAGE:**

Records are stored in file folders. Extracts of these records, including tax ID number, address, and phone number, are also kept in a computer database.

**RETRIEVABILITY:**

Records are retrieved from the computer database by business name used by an individual or contract number. Paper records are retrieved by contract number, which may be retrieved by first searching for the contractor name in the computer database.

**SAFEGUARDS:**

Paper records are stored in locked cabinets in a secure area. Computer records are accessible only through the use of login and password, which are issued to those with a need to know.

**RETENTION AND DISPOSAL:**

Computer records are kept indefinitely. Paper records are destroyed 6 years and 3 months after final payment.

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

Director, Division of Procurement Services, Consumer Product Safety Commission, 4330 East West Highway, Bethesda, MD 20814.

**NOTIFICATION PROCEDURE:**

Freedom of Information/Privacy Act Officer, Office of the Secretariat,