

NSF -6

System Name:

Doctorate Records File.

Security Classification:

None.

System Location(s):

National Academy of Sciences, 2101 Constitution Avenue, NW, Washington, DC 20418; National Science Foundation, 1800 G Street, NW, Washington, DC 20550; Department of Education, 400 Maryland Avenue, SW, Washington, DC 20202; National Endowment for the Humanities, 1100 Pennsylvania Avenue, NW, Washington, DC 20506; and National Institutes of Health, Buildings 1 and 12, 9000 Rockville Pike, Bethesda, Md. 20892.

Categories of Individuals Covered by the System:

The system includes individuals who have received earned doctorates from U. S. institutions since 1920. Limited information (name, field of degree and institution) on persons receiving doctorates between 1920 and 1958 was compiled from public records. Information for persons receiving degrees after 1958 has been supplied voluntarily by the person receiving the degree. Some institution supply name and field of degree for persons not providing any information.

Categories of Records in the System:

Name, Social Security number, birth date, sex, citizenship, race, education history, sources of financial support during graduate study, postgraduation plans.

Authority for Maintenance of the System:

Section I (3)(a)(6), (4)(j)(1), (42 U.S.C. 1862); Section II (37) (42 U.S.C. 1865d); National Science Foundation Act of 1950 as amended.

Purpose(s):

This system is used:

1. To provide a source of information on demographic and educational characteristics and employment plans of recipients of doctorate from American universities, in compliance with Foundation responsibilities to monitor scientific and technical resources.

2. To provide indicators of the state of science and engineering in the United States, as required by congressional mandate.
3. To report biennially on the participation of men and women by race and by ethnic group and by discipline, in scientific and technical fields, as required by congressional mandate.
4. To provide the sampling frame for the survey of doctorate in the Scientific and Technical Personal Data System for the Foundation.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of such Uses:

1. Information is given to the institution awarding degree, but only for its own doctorates.
2. Disclosures may be made to the federal sponsors listed under "System location" above, their contractors and collaborating researchers and their staff for the purpose of analyzing data and preparing scientific reports and articles in order to accomplish the research purpose for which the records are collected. All users of the system are required to comply with the requirements of the Privacy Act with respect to such records.
3. Records are disclosed to the National Institutes of Health for review and evaluation of its programs.

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

Storage:

Computer tapes and questionnaires are kept by the National Academy of Sciences. Computer tapes are kept by the National Science Foundation, Department of Education, National Endowment for the Humanities and the National Institutes of Health.

Retrievability:

Alphabetically by last name of individual.

Safeguards:

Data are kept in secured areas with access limited to authorized personnel. Questionnaires, in paper copy or in microfiche, are kept in locked cabinets. Published findings are in formats which preclude individual identification.

Retention and Disposal:

Computer tapes are kept indefinitely by the National Academy of Sciences for use by the project in fulfilling its responsibilities described above under "Purposes".

System Manager(s) and Address(es):

Division Director, Science Resources Studies, National Science Foundation, 1800 G St. NW,
Washington, DC 20550.

Notification Procedure:

To determine if a record exists, write to the system manager and provide the following information:

1. System Name: Doctorate Records File.
2. Complete name at time degree was awarded.
3. Complete birth date and institution awarding degree (to distinguish among duplicate names, if necessary).

Record Access Procedures:

See "Notification procedure" above.

Contesting Record Procedures:

See "Notification procedure" above.

Record Source Categories:

Information obtained voluntarily from individual.

Systems Exempted from Certain Provisions of the Act:

None.