



December 14, 2017

Mr. Brian J. Wagner
President
National Association of Postal Supervisors
1727 King Street, Suite 400
Alexandria, VA 22314-2753

Dear Brian:

As a matter of general interest, the Postal Service is revising Privacy Act System of Records, USPS 100.000, *General Personnel Records*, USPS 100.900, *Employee Inquiry, Complaint and Investigative Records*, and 200.000, *Labor Relations Records* found in Handbook AS-353, *Guide to Privacy, the Freedom of Information Act, and Records Management*.

The subject revisions modify the routine uses for these types of records to include our obligation to disclose relevant and necessary records upon requests from the National Labor Relations Board.

We have two copies of the subject revisions, one with and one without changes identified.

Please contact Bruce Nicholson at 7773 if you have questions concerning this matter.

Sincerely,

A handwritten signature in black ink, appearing to read "Alan S. Moore".

Alan S. Moore
Manager
Labor Relations Policies and Programs

Enclosures

USPS 100.900

System Name:

Employee Inquiry, Complaint, and Investigative Records.

System Location

USPS personnel offices; area and district facilities; Post Offices; and contractor sites.

Categories of Individuals Covered by the System

USPS employees and non-employees who contact USPS with an inquiry or complaint, and employees and non-employees who are subjects of management inquiries or investigations of workplace issues.

Categories of Records in the System

1. *Employee information:* Name, gender, Social Security number, Employee Identification Number, postal assignment information, veteran status, contact information, finance number(s), duty location, and pay location.
2. *Non-employee information:* Name, gender, Applicant Identification Number, and contact information.
3. *Identification Number, and contact information. Inquiry, complaint, and investigative information:* Records related to the subject category of inquiry or complaint, assigned case number, background, and description of inquiry, complaint, or investigation.

Authority for Maintenance of the System

39 U.S.C. 401, 410, 1001, 1005, and 1206.

Purpose(s)

1. To enable review and response to inquiries and complaints concerning employees and non-employees.
2. To enable management to initiate, review, process, track, and resolve inquiries, complaints, or concerns about the workplace.
3. To support administrative or court litigation and arbitration proceedings.

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

Standard routine uses 1. through 9. apply. In addition:

- a. Records may be disclosed to the National Labor Relations Board (NLRB) in response to its request for investigative purposes, to the extent that the requested information is relevant and necessary.

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

Storage

Automated database, computer storage media, and paper.

Retrievability

By employee and non-employee name, Employee Identification Number, Applicant Identification Number, subject category, facility, finance number, district, area, nationally, or case number.

Safeguards

Paper records, computers, and computer storage media are located in controlled-access areas under supervision of program personnel. Access to these areas is limited to authorized personnel, who must be identified with a badge. Access to records is limited to individuals whose official duties require such access. Contractors and licensees are subject to contract controls and unannounced on-site audits and inspections. Computers are protected by mechanical locks, card key systems, or other physical access control methods. The use of computer systems is regulated with installed security software, computer logon identifications, and operating system controls including access controls, terminal and transaction logging, and file management software.

Retention and Disposal

Records are retained 4 years after response to inquiry, resolution of complaint, or conclusion of investigation. Records existing on paper are destroyed by burning, pulping, or shredding. Records existing on computer storage media are destroyed according to the applicable USPS media sanitization practice.

System Manager(s) and Address

Vice President, Employee Resource Management, United States Postal Service, 475 L'Enfant Plaza SW, Washington, DC 20260.

Vice President, Labor Relations, United States Postal Service, 475 L'Enfant Plaza SW, Washington, DC 20260.

Notification Procedure

Employees who want to know if their information is maintained in this system of records must address inquiries to the facility head where currently or last employed. Headquarters employees must submit inquiries to Corporate Personnel Management, 475 L'Enfant Plaza SW, Washington, DC 20260. Non-employees who want to know if their information is maintained in this system of records must address inquiries to the District Manager, Human Resources that governs the facility where the inquiry, complaint, or investigative records are stored. Inquiries must include full name, address, and other identifying information. In addition, employees must include Social Security number or Employee Identification Number, name and address of facility where last employed, and dates of USPS employment. Likewise, employees may also be required to furnish where the inquiry, complaint, or investigation occurred.

Record Access Procedures

Requests for access must be made in accordance with the Notification Procedure above and USPS Privacy Act regulations regarding access to records and verification of identity under 39 CFR 266.6.

Contesting Record Procedures

See Notification Procedure and Record Access Procedures above.

Record Source Categories

Employees, non-employees, supervisors, managers, and witnesses.

Systems Exempted From Certain Provisions of the Act

Records in this system that have been compiled in reasonable anticipation of a civil action or proceeding are exempt from individual access as permitted by 5 U.S.C. 552a(d)(5). The USPS has also claimed exemption from certain provisions of the Act for several of its other systems of records at 39 CFR 266.9. To the extent that copies of exempted records from those other systems are incorporated into this system, the exemptions applicable to the original primary system continue to apply to the incorporated records.

USPS 100.900

System Name:

Employee Inquiry, Complaint, and Investigative Records.

System Location

USPS personnel offices; area and district facilities; Post Offices; and contractor sites.

Categories of Individuals Covered by the System

USPS employees and non-employees who contact USPS with an inquiry or complaint, and employees and non-employees who are subjects of management inquiries or investigations of workplace issues.

Categories of Records in the System

1. *Employee information:* Name, gender, Social Security number, Employee Identification Number, postal assignment information, veteran status, contact information, finance number(s), duty location, and pay location.
2. *Non-employee information:* Name, gender, Applicant Identification Number, and contact information.
3. *Identification Number, and contact information. Inquiry, complaint, and investigative information:* Records related to the subject category of inquiry or complaint, assigned case number, background, and description of inquiry, complaint, or investigation.

Authority for Maintenance of the System

39 U.S.C. 401, 410, 1001, 1005, and 1206.

Purpose(s)

1. To enable review and response to inquiries and complaints concerning employees and non-employees.
2. To enable management to initiate, review, process, track, and resolve inquiries, complaints, or concerns about the workplace.
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- a. Records may be disclosed to the National Labor Relations Board (NLRB) in response to its request for investigative purposes, to the extent that the requested information is relevant and necessary.

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

Storage

Automated database, computer storage media, and paper.

Retrievability

By employee and non-employee name, Employee Identification Number, Applicant Identification Number, subject category, facility, finance number, district, area, nationally, or case number.

Safeguards

Paper records, computers, and computer storage media are located in controlled-access areas under supervision of program personnel. Access to these areas is limited to authorized personnel, who must be identified with a badge. Access to records is limited to individuals whose official duties require such access. Contractors and licensees are subject to contract controls and unannounced on-site audits and inspections. Computers are protected by mechanical locks, card key systems, or other physical access control methods. The use of computer systems is regulated with installed security software, computer logon identifications, and operating system controls including access controls, terminal and transaction logging, and file management software.

Retention and Disposal

Records are retained 4 years after response to inquiry, resolution of complaint, or conclusion of investigation. Records existing on paper are destroyed by burning, pulping, or shredding. Records existing on computer storage media are destroyed according to the applicable USPS media sanitization practice.

System Manager(s) and Address

Vice President, Employee Resource Management, United States Postal Service, 475 L'Enfant Plaza SW, Washington, DC 20260.

Vice President, Labor Relations, United States Postal Service, 475 L'Enfant Plaza SW, Washington, DC 20260.

Notification Procedure

Employees who want to know if their information is maintained in this system of records must address inquiries to the facility head where currently or last employed. Headquarters employees must submit inquiries to Corporate Personnel Management, 475 L'Enfant Plaza SW, Washington, DC 20260. Non-employees who want to know if their information is maintained in this system of records must address inquiries to the District Manager, Human Resources that governs the facility where the inquiry, complaint, or investigative records are stored. Inquiries must include full name, address, and other identifying information. In addition, employees must include Social Security number or Employee Identification Number, name and address of facility where last employed, and dates of USPS employment. Likewise, employees may also be required to furnish where the inquiry, complaint, or investigation occurred.

Record Access Procedures

Requests for access must be made in accordance with the Notification Procedure above and USPS Privacy Act regulations regarding access to records and verification of identity under 39 CFR 266.6.

Contesting Record Procedures

See Notification Procedure and Record Access Procedures above.

Record Source Categories

Employees, non-employees, supervisors, managers, and witnesses.

Systems Exempted From Certain Provisions of the Act

Records in this system that have been compiled in reasonable anticipation of a civil action or proceeding are exempt from individual access as permitted by 5 U.S.C. 552a(d)(5). The USPS has also claimed exemption from certain provisions of the Act for several of its other systems of records at 39 CFR 266.9. To the extent that copies of exempted records from those other systems are incorporated into this system, the exemptions applicable to the original primary system continue to apply to the incorporated records.

USPS 200.000

System Name:

Labor Relations Records.

System Location

Labor Relations and Law Department, USPS Headquarters; EEO Compliance and Appeals Processing Centers; area and district facilities; and contractor sites.

Categories of Individuals Covered by the System

1. Current and former USPS employees, applicants for employment, third-party complainants, and mediators (other federal agency employees, or contract employees) involved in EEO discrimination complaints and complaint processing.
2. USPS employees and contractors involved in labor arbitration.
3. Individuals and organizations interested in providing alternative dispute resolution (ADR) services to all disputes, except those arising under USPS collective bargaining agreements.
4. Current providers and individuals interested in providing contract investigative services for EEO complaints and contract services for drafting final agency decisions concerning EEO complaints.

Categories of Records in the System

1. EEO discrimination complaint case information: Individuals' names, Social Security Numbers, Employee Identification Numbers, postal assignment information, work contact information, home address(es) and phone number(s), email address(es), Veteran's Preference eligibility, finance number(s), duty location(s), pay location(s), case number, and other complaint, counseling, investigation, hearing, and appeal information describing the case.
2. Labor arbitration information: Records related to labor arbitration proceedings in which USPS is a party.
3. Contractor provider information: Records related to mediation providers, contract investigators, and contract final agency decision writers including name of individual or entity, contact information, capabilities, and performance.

Authority for Maintenance of the System

39 U.S.C. 401, 409, 410, 1001, 1005, and 1206.

Purpose(s)

1. To adjudicate complaints of alleged discrimination, and to evaluate USPS EEO program effectiveness.
2. To provide advice and representation to USPS in labor arbitration cases.
3. To determine mediation service provider, contract investigator, and final agency decision writer qualifications.

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

Standard routine uses 1. through 9. apply. In addition:

- a. Records may be disclosed to the National Labor Relations Board (NLRB) in response to its request for investigative purposes, to the extent that the requested information is relevant and necessary.

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

Storage

Automated database, computer storage media, and paper.

Retrievability

EEO discrimination complaint case records are retrieved by case number, complainant's name, Social Security Number, Employee Identification Number, or the location where the complaint was made. EEO staff selection records are retrieved by applicant name or pay location. Other records categories are retrieved by name of subject individual.

Safeguards

Paper records, and computer storage media are located in secure file cabinets within locked rooms or within locked filing cabinets. Computers are maintained in offices or rooms that can be locked when users are not present and their contents are protected by user IDs and passwords. Access to records is limited to individuals whose official duties require such access. Contractors and licensees are subject to contract controls and unannounced on-site audits and inspections. The use of computer systems is regulated with installed security software, computer logon identifications, and operating system controls including access controls, terminal and transaction logging, and file management software.

Retention and Disposal

1. EEO discrimination complaint case records: Precomplaint records are retained for 1 year after submission of a final report. Formal complaint records of closed cases are removed from the system of records quarterly, and retained as follows: Official files are retained for 4 years. Copies of official files are retained for 1 year. Background documents not in official files are retained for 2 years. Records of closed cases on computer storage media are removed for 3 years after the closure date and moved to an inactive file for future comparative analyses.
2. Labor arbitration records: Field-level disciplinary and contract application cases are retained for 5 years from the date of final decision. National-level contract interpretation cases and court actions are retained for 15 years from the date of expiration of the agreement.
3. EEO staff selection records: Staff selection records are retained for 3 years from the date the position became vacant.
4. ADR provider records: Records of active providers are retained for 1 year beyond the date the provider is removed from or voluntarily withdraws from the program or is otherwise notified of their decertification. Records of prospective providers who are rejected are retained for 1 year beyond the year in which their survey was received.

Records existing on paper are destroyed by burning, pulping, or shredding. Records existing on computer storage media are destroyed according to the applicable USPS media sanitization practice.

System Manager(s) and Address

Vice President, Labor Relations, United States Postal Service, 475 L'Enfant Plaza SW, Washington, DC 20260.

Notification Procedure

Inquiries about EEO discrimination complaint case records regarding claims filed by field employees must be submitted to the Manager EEO Compliance and Appeals, located in the appropriate Regional office, Eastern and Northeast Areas (Region 4) – 8 Griffin Road North, Windsor CT 06095-1578, Southern and Capital Metro Areas (Region 3) – 225 North Humphreys Blvd, Memphis TN 38166-0978, Southern and Great Lakes Areas (Region 2) – PO Box 223863, Dallas TX 75222-3863, and Pacific and Western Areas (Region 1) – PO Box 880546, San Francisco CA 94188-0546. Inquiries regarding claims filed by employees at Postal Service Headquarters and Headquarters Field Units and employees of the Inspection Service must be submitted to the Headquarters National EEO Compliance and Appeals office at 475 L'Enfant Plaza NW, Washington DC 20260-4101. Inquiries must include complainant name, complainant Social Security Number or Employee Identification Number, location, and case number and year. Inquiries about labor arbitration records mediation provider, contract investigator, and contract final agency decision writer records must be submitted to the system manager.

Record Access Procedures

Requests for access must be made in accordance with the Notification Procedure above and USPS Privacy Act regulations regarding access to records and verification of identity under 39 CFR 266.6.

Contesting Record Procedures

See Notification Procedure and Record Access Procedures above.

Record Source Categories

For EEO discrimination complaint case information: complainants, witnesses, investigators, and respondents. For labor arbitration records: employees and other individuals involved in arbitration; counsel or other representatives for parties involved in a case; and arbitrators. For mediation provider, contract investigator, and final agency decision writer records, the service contract provider.

Systems Exempted From Certain Provisions of the Act

Pursuant to 5 U.S.C. 552a(j) and (k), USPS has established regulations at 39 CFR 266.9 that exempt EEO discrimination complaint case records. Records in this system that have been compiled in reasonable anticipation of a civil action or proceeding are exempt from individual access as permitted by 5 U.S.C. 552a(d)(5). The USPS has also claimed exemption from certain provisions of the Act for several of its other systems of records at 39 CFR 266.9. To the extent that copies of exempted records from those other systems are incorporated into this system, the exemptions applicable to the original primary system continue to apply to the incorporated records.

USPS 200.000

System Name:

Labor Relations Records.

System Location

Labor Relations and Law Department, USPS Headquarters; EEO Compliance and Appeals Processing Centers; area and district facilities; and contractor sites.

Categories of Individuals Covered by the System

1. Current and former USPS employees, applicants for employment, third-party complainants, and mediators (other federal agency employees, or contract employees) involved in EEO discrimination complaints and complaint processing.
2. USPS employees and contractors involved in labor arbitration.
3. Individuals and organizations interested in providing alternative dispute resolution (ADR) services to all disputes, except those arising under USPS collective bargaining agreements.
4. Current providers and individuals interested in providing contract investigative services for EEO complaints and contract services for drafting final agency decisions concerning EEO complaints.

Categories of Records in the System

1. EEO discrimination complaint case information: Individuals' names, Social Security Numbers, Employee Identification Numbers, postal assignment information, work contact information, home address(es) and phone number(s), email address(es), Veteran's Preference eligibility, finance number(s), duty location(s), pay location(s), case number, and other complaint, counseling, investigation, hearing, and appeal information describing the case.
2. Labor arbitration information: Records related to labor arbitration proceedings in which USPS is a party.
3. Contractor provider information: Records related to mediation providers, contract investigators, and contract final agency decision writers including name of individual or entity, contact information, capabilities, and performance.

Authority for Maintenance of the System

39 U.S.C. 401, 409, 410, 1001, 1005, and 1206.

Purpose(s)

1. To adjudicate complaints of alleged discrimination, and to evaluate USPS EEO program effectiveness.
2. To provide advice and representation to USPS in labor arbitration cases.
3. To determine mediation service provider, contract investigator, and final agency decision writer qualifications.

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

Standard routine uses 1. through 9. apply. In addition:

- a. Records may be disclosed to the National Labor Relations Board (NLRB) in response to its request for investigative purposes, to the extent that the requested information is relevant and necessary.

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

Storage

Automated database, computer storage media, and paper.

Retrievability

EEO discrimination complaint case records are retrieved by case number, complainant's name, Social Security Number, Employee Identification Number, or the location where the complaint was made. EEO staff selection records are retrieved by applicant name or pay location. Other records categories are retrieved by name of subject individual.

Safeguards

Paper records, and computer storage media are located in secure file cabinets within locked rooms or within locked filing cabinets. Computers are maintained in offices or rooms that can be locked when users are not present and their contents are protected by user IDs and passwords. Access to records is limited to individuals whose official duties require such access. Contractors and licensees are subject to contract controls and unannounced on-site audits and inspections. The use of computer systems is regulated with installed security software, computer logon identifications, and operating system controls including access controls, terminal and transaction logging, and file management software.

Retention and Disposal

1. EEO discrimination complaint case records: Precomplaint records are retained for 1 year after submission of a final report. Formal complaint records of closed cases are removed from the system of records quarterly, and retained as follows: Official files are retained for 4 years. Copies of official files are retained for 1 year. Background documents not in official files are retained for 2 years. Records of closed cases on computer storage media are removed for 3 years after the closure date and moved to an inactive file for future comparative analyses.
2. Labor arbitration records: Field-level disciplinary and contract application cases are retained for 5 years from the date of final decision. National-level contract interpretation cases and court actions are retained for 15 years from the date of expiration of the agreement.
3. EEO staff selection records: Staff selection records are retained for 3 years from the date the position became vacant.
4. ADR provider records: Records of active providers are retained for 1 year beyond the date the provider is removed from or voluntarily withdraws from the program or is otherwise notified of their decertification. Records of prospective providers who are rejected are retained for 1 year beyond the year in which their survey was received.

Records existing on paper are destroyed by burning, pulping, or shredding. Records existing on computer storage media are destroyed according to the applicable USPS media sanitization practice.

System Manager(s) and Address

Vice President, Labor Relations, United States Postal Service, 475 L'Enfant Plaza SW, Washington, DC 20260.

Notification Procedure

Inquiries about EEO discrimination complaint case records regarding claims filed by field employees must be submitted to the Manager EEO Compliance and Appeals, located in the appropriate Regional office, Eastern and Northeast Areas (Region 4) – 8 Griffin Road North, Windsor CT 06095-1578, Southern and Capital Metro Areas (Region 3) – 225 North Humphreys Blvd, Memphis TN 38166-0978, Southern and Great Lakes Areas (Region 2) – PO Box 223863, Dallas TX 75222-3863, and Pacific and Western Areas (Region 1) – PO Box 880546, San Francisco CA 94188-0546. Inquiries regarding claims filed by employees at Postal Service Headquarters and Headquarters Field Units and employees of the Inspection Service must be submitted to the Headquarters National EEO Compliance and Appeals office at 475 L'Enfant Plaza NW, Washington DC 20260-4101. Inquiries must include complainant name, complainant Social Security Number or Employee Identification Number, location, and case number and year. Inquiries about labor arbitration records mediation provider, contract investigator, and contract final agency decision writer records must be submitted to the system manager.

Record Access Procedures

Requests for access must be made in accordance with the Notification Procedure above and USPS Privacy Act regulations regarding access to records and verification of identity under 39 CFR 266.6.

Contesting Record Procedures

See Notification Procedure and Record Access Procedures above.

Record Source Categories

For EEO discrimination complaint case information: complainants, witnesses, investigators, and respondents. For labor arbitration records: employees and other individuals involved in arbitration; counsel or other representatives for parties involved in a case; and arbitrators. For mediation provider, contract investigator, and final agency decision writer records, the service contract provider.

Systems Exempted From Certain Provisions of the Act

Pursuant to 5 U.S.C. 552a(j) and (k), USPS has established regulations at 39 CFR 266.9 that exempt EEO discrimination complaint case records. Records in this system that have been compiled in reasonable anticipation of a civil action or proceeding are exempt from individual access as permitted by 5 U.S.C. 552a(d)(5). The USPS has also claimed exemption from certain provisions of the Act for several of its other systems of records at 39 CFR 266.9. To the extent that copies of exempted records from those other systems are incorporated into this system, the exemptions applicable to the original primary system continue to apply to the incorporated records.

USPS 100.000

System Name:

General Personnel Records.

System Location

All USPS facilities and personnel offices; Integrated Business Solutions Services Centers; National Personnel Records Center; Human Resources Information Systems; Human Resources Shared Services Center; Headquarters; Computer Operations Service Centers; and contractor sites.

Categories of Individuals Covered by the System

Current and former USPS employees, their family members, and former spouses who apply and qualify for federal employee benefits under public law.

Categories of Records in the System

1. Employee, former employee, and family member information: Name(s), Social Security Number(s), Employee Identification Number, date(s) of birth, place(s) of birth, marital status, postal assignment information, work contact information, home address(es) and phone number(s), personal email address, finance number(s), duty location, and pay location.
2. *Official Personnel Folder (OPF) or eOPF (electronic version)*: Records related to appointment support, prior federal civilian employment, postal employment, personnel actions, anniversary dates, retirement, benefits, and compensation.
3. *Automated employee information*: Records generated, approved, and stored by electronic means such as *Notification of Personnel Actions*, health benefit elections, tax withholding changes, and address changes.
4. *Reference copies of all discipline or adverse actions*: Letters of warning; notices of removal, suspension and/or reduction in grade or pay; letters of decisions; and documents relating to these actions. These are used only to refute inaccurate statements by witnesses before a judicial or administrative body. They may not be maintained in the employee's OPF or eOPF but must be maintained in a separate file by Labor Relations.
5. *Nonbargaining unit employee discipline, grievance, and appeals records*.
6. *Job bidding records*: Records related to the employee's bid for a preferred assignment.
7. *Biographical summaries*: Records and photographs used for public relations purposes.
8. *Level 2 supervisors' notes*: Records of discussions, letters of warning, and any other relevant official records being maintained at the supervisor's discretion for the purpose of enabling effective management of personnel. (A level 2 supervisor directly supervises bargaining unit employees.)
9. *Email Addresses*: personal email address(es) for retired employees are retained in a separate database and file from other current and former employee information.

Authority for Maintenance of the System

39 U.S.C. 401, 410, 1001, 1005, and 1206.

Purpose(s)

1. To perform routine personnel functions.
2. To maintain a source of readily available information on employees for administrative purposes.
3. To administer the grievance and appeal procedure for nonbargaining unit employees.
4. To match a vacant position to the most qualified candidate in bids for preferred assignment.
5. To provide public relations information on USPS management personnel.
6. To provide federal benefit information to retired employees.

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

Standard routine uses 1. through 9. apply. In addition:

- a. Job bidding records may be disclosed on official bulletin boards in Postal Service facilities and to supervisory and other managerial organizations recognized by USPS.
- b. Records pertaining to financial institutions and to nonfederal insurance carriers and benefits providers elected by an employee may be disclosed for the purposes of salary payment or allotments, eligibility determination, claims, and payment of benefits.
- c. Records may be disclosed to the National Labor Relations Board (NLRB) in response to its request for investigative purposes, to the extent that the requested information is relevant and necessary.

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

Storage

Automated database, computer storage media, digital files, and paper files. Duplicates of records in the OPF or eOPF and automated employee data may be maintained for localized employee administration or supervision. Records may be filed at

offices other than where OPF or eOPF is located, or may be duplicated at a site closer to where the employee works.

Retrievability

By name, Social Security Number, Employee Identification Number, or duty or pay location.

Safeguards

Paper records, computers, and computer storage media are located in controlled-access areas under supervision of program personnel. Access to these areas is limited to authorized personnel, who must be identified with a badge. Nonbargaining unit employee discipline, grievance, and appeals records maintained outside the OPF (hard or soft copy) are kept in locked filing cabinets or secured record storage rooms; and related automated records are protected with password security. Computers are protected by mechanical locks, card key systems, or other physical access control methods. The use of computer systems is regulated with installed security software, computer logon identifications, and operating system controls including access controls, terminal and transaction logging, and file management software.

Retention and Disposal

1. Permanent OPF or eOPF records are permanently retained. Temporary OPF or eOPF records are generally retained 2 years and are purged upon the employee's separation from USPS.
2. Except as otherwise provided by a collective bargaining agreement, original or copies of discipline or adverse actions are maintained up to 2 years; or, if an additional or more recent disciplinary action has been taken, for a longer period. After 2 years, or lesser time specified in the decision, the employee may request the disciplinary record be purged from the OPF or eOPF provided no subsequent discipline was issued. Records that support a PS Form 50, *Notification of Personnel Action*, e.g., the separation of an employee for cause or the resignation of an employee pending charges, are considered permanent records and may not be purged at the request of an employee.
3. Reference copies of discipline or adverse actions. These records are kept for historical purposes and are not to be used for decisions about the employee. The retention of these records may not exceed 10 years beyond the employee's separation date. The records are maintained longer if the employee is rehired during the 10-year period. They may not be maintained in the employee's OPF or eOPF, but must be maintained in a separate file by Labor Relations.
4. Grievance and appeal records of nonbargaining unit employees are retained 7 years.
5. Job bidding records are retained 2 years.
6. Biographical summaries are retained for the duration of employment.
7. Records to provide federal benefit information to retired employees are retained for 10 years. Records may be purged at the request of the retired employee.

Records existing on paper are destroyed by burning, pulping, or shredding. Records existing on computer storage media are destroyed according to the applicable USPS media sanitization practice.

System Manager(s) and Address

Director of Human Resources, USPS OIG, 1735 N. Lynn Street, 10th floor, Arlington, VA 22209.

Vice President, Employee Resource Management, United States Postal Service, 475 L'Enfant Plaza SW, Washington, DC 20260.

Vice President, Labor Relations, United States Postal Service, 475 L'Enfant Plaza SW, Washington, DC 20260.

Notification Procedure

Individuals wanting to know if information about them is maintained in this system must address inquiries to the facility head where currently or last employed. Headquarters employees must submit inquiries to Corporate Personnel Management, 475 L'Enfant Plaza SW, Washington, DC 20260. Inquiries must include full name, Social Security Number or Employee Identification Number, name and address of facility where last employed, and the dates of USPS employment.

Record Access Procedures

Requests for access must be made in accordance with the Notification Procedure above and USPS Privacy Act regulations regarding access to records and verification of identity under 39 CFR 266.6.

Contesting Record Procedures

See Notification Procedure and Record Access Procedures above.

Record Source Categories

Employees; employees' supervisors; USPS customers; law enforcement agencies; individuals who are personal references; former employers, including other federal agencies; and other systems of records.

Systems Exempted From Certain Provisions of the Act

Records in this system that have been compiled in reasonable anticipation of a civil action or proceeding are exempt from individual access as permitted by 5 U.S.C. 552a(d)(5). The USPS has also claimed exemption from certain provisions of the Act for several of its other systems of records at 39 CFR

266.9. To the extent that copies of exempted records from those other systems are incorporated into this system, the exemptions applicable to the original primary system continue to apply to the incorporated records.

USPS 100.000

System Name:

General Personnel Records.

System Location

All USPS facilities and personnel offices; Integrated Business Solutions Services Centers; National Personnel Records Center; Human Resources Information Systems; Human Resources Shared Services Center; Headquarters; Computer Operations Service Centers; and contractor sites.

Categories of Individuals Covered by the System

Current and former USPS employees, their family members, and former spouses who apply and qualify for federal employee benefits under public law.

Categories of Records in the System

1. Employee, former employee, and family member information: Name(s), Social Security Number(s), Employee Identification Number, date(s) of birth, place(s) of birth, marital status, postal assignment information, work contact information, home address(es) and phone number(s), personal email address, finance number(s), duty location, and pay location.
2. *Official Personnel Folder (OPF) or eOPF (electronic version)*: Records related to appointment support, prior federal civilian employment, postal employment, personnel actions, anniversary dates, retirement, benefits, and compensation.
3. *Automated employee information*: Records generated, approved, and stored by electronic means such as *Notification of Personnel Actions*, health benefit elections, tax withholding changes, and address changes.
4. *Reference copies of all discipline or adverse actions*: Letters of warning; notices of removal, suspension and/or reduction in grade or pay; letters of decisions; and documents relating to these actions. These are used only to refute inaccurate statements by witnesses before a judicial or administrative body. They may not be maintained in the employee's OPF or eOPF but must be maintained in a separate file by Labor Relations.
5. *Nonbargaining unit employee discipline, grievance, and appeals records*.
6. *Job bidding records*: Records related to the employee's bid for a preferred assignment.
7. *Biographical summaries*: Records and photographs used for public relations purposes.
8. *Level 2 supervisors' notes*: Records of discussions, letters of warning, and any other relevant official records being maintained at the supervisor's discretion for the purpose of enabling effective management of personnel. (A level 2 supervisor directly supervises bargaining unit employees.)
9. *Email Addresses*: personal email address(es) for retired employees are retained in a separate database and file from other current and former employee information.

Authority for Maintenance of the System

39 U.S.C. 401, 410, 1001, 1005, and 1206.

Purpose(s)

1. To perform routine personnel functions.
2. To maintain a source of readily available information on employees for administrative purposes.
3. To administer the grievance and appeal procedure for nonbargaining unit employees.
4. To match a vacant position to the most qualified candidate in bids for preferred assignment.
5. To provide public relations information on USPS management personnel.
6. To provide federal benefit information to retired employees.

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

Standard routine uses 1. through 9. apply. In addition:

- a. Job bidding records may be disclosed on official bulletin boards in Postal Service facilities and to supervisory and other managerial organizations recognized by USPS.
- b. Records pertaining to financial institutions and to nonfederal insurance carriers and benefits providers elected by an employee may be disclosed for the purposes of salary payment or allotments, eligibility determination, claims, and payment of benefits.
- b.c. Records may be disclosed to the National Labor Relations Board (NLRB) in response to its request for investigative purposes, to the extent that the requested information is relevant and necessary.

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

Storage

Automated database, computer storage media, digital files, and paper files. Duplicates of records in the OPF or eOPF and automated employee data may be maintained for localized employee administration or supervision. Records may be filed at

offices other than where OPF or eOPF is located, or may be duplicated at a site closer to where the employee works.

Retrievability

By name, Social Security Number, Employee Identification Number, or duty or pay location.

Safeguards

Paper records, computers, and computer storage media are located in controlled-access areas under supervision of program personnel. Access to these areas is limited to authorized personnel, who must be identified with a badge. Nonbargaining unit employee discipline, grievance, and appeals records maintained outside the OPF (hard or soft copy) are kept in locked filing cabinets or secured record storage rooms; and related automated records are protected with password security. Computers are protected by mechanical locks, card key systems, or other physical access control methods. The use of computer systems is regulated with installed security software, computer logon identifications, and operating system controls including access controls, terminal and transaction logging, and file management software.

Retention and Disposal

1. Permanent OPF or eOPF records are permanently retained. Temporary OPF or eOPF records are generally retained 2 years and are purged upon the employee's separation from USPS.
2. Except as otherwise provided by a collective bargaining agreement, original or copies of discipline or adverse actions are maintained up to 2 years; or, if an additional or more recent disciplinary action has been taken, for a longer period. After 2 years, or lesser time specified in the decision, the employee may request the disciplinary record be purged from the OPF or eOPF provided no subsequent discipline was issued. Records that support a PS Form 50, *Notification of Personnel Action*, e.g., the separation of an employee for cause or the resignation of an employee pending charges, are considered permanent records and may not be purged at the request of an employee.
3. Reference copies of discipline or adverse actions. These records are kept for historical purposes and are not to be used for decisions about the employee. The retention of these records may not exceed 10 years beyond the employee's separation date. The records are maintained longer if the employee is rehired during the 10-year period. They may not be maintained in the employee's OPF or eOPF, but must be maintained in a separate file by Labor Relations.
4. Grievance and appeal records of nonbargaining unit employees are retained 7 years.
5. Job bidding records are retained 2 years.
6. Biographical summaries are retained for the duration of employment.
7. Records to provide federal benefit information to retired employees are retained for 10 years. Records may be purged at the request of the retired employee.

Records existing on paper are destroyed by burning, pulping, or shredding. Records existing on computer storage media are destroyed according to the applicable USPS media sanitization practice.

System Manager(s) and Address

Director of Human Resources, USPS OIG, 1735 N. Lynn Street, 10th floor, Arlington, VA 22209.

Vice President, Employee Resource Management, United States Postal Service, 475 L'Enfant Plaza SW, Washington, DC 20260.

Vice President, Labor Relations, United States Postal Service, 475 L'Enfant Plaza SW, Washington, DC 20260.

Notification Procedure

Individuals wanting to know if information about them is maintained in this system must address inquiries to the facility head where currently or last employed. Headquarters employees must submit inquiries to Corporate Personnel Management, 475 L'Enfant Plaza SW, Washington, DC 20260. Inquiries must include full name, Social Security Number or Employee Identification Number, name and address of facility where last employed, and the dates of USPS employment.

Record Access Procedures

Requests for access must be made in accordance with the Notification Procedure above and USPS Privacy Act regulations regarding access to records and verification of identity under 39 CFR 266.6.

Contesting Record Procedures

See [Notification Procedure](#) and [Record Access Procedures](#) above.

Record Source Categories

Employees; employees' supervisors; USPS customers; law enforcement agencies; individuals who are personal references; former employers, including other federal agencies; and other systems of records.

Systems Exempted From Certain Provisions of the Act

Records in this system that have been compiled in reasonable anticipation of a civil action or proceeding are exempt from individual access as permitted by 5 U.S.C. 552a(d)(5). The USPS has also claimed exemption from certain provisions of the Act for several of its other systems of records at 39 CFR

266.9. To the extent that copies of exempted records from those other systems are incorporated into this system, the exemptions applicable to the original primary system continue to apply to the incorporated records.