

Update Notice

Handbook AS-353 – Guide to Privacy and the Freedom of Information Act September 2003

Handbook AS-353, *Guide to Privacy and the Freedom of Information Act*, was last printed in September 2003. To inform you of changes since that time, we periodically update this online edition of the AS-353. We use vertical bars (i.e., revision bars) in the margin to indicate text changed since September 2003.

How to Use This Update Notice

- Use this update notice to find out about changes, which were published in the *Postal Bulletin*, that have occurred since the last printed version.
- Find the chapter, subchapter, part, section, or system of records in the first column and read across the other columns to find specific information about that revision.

This online version of AS-353, *Guide to Privacy and the Freedom of Information Act*, published in September 2003 is updated through November 27, 2003, with the following *Postal Bulletin* articles:

| This chapter, subchapter, part, or section... | titled... | was updated to... | in <i>Postal Bulletin</i> issue number... | with an issue date of... |
|---|--|---|---|--------------------------|
| Chapter 3, Privacy Procedures | | | | |
| 3-6 | Operating a Customer Web Site | Change the word “regarding” to “including.” | 22116 | 11-27-2003 |
| Appendix, Privacy Act Systems of Records | | | | |
| B | Systems of Records Index | Delete the entry for “050.010, Employee Travel Records.” | 22116 | 11-27-2003 |
| D | Prefatory Statement of Routine Uses That Apply to General Systems of Records | <ul style="list-style-type: none"> ■ Reletter items <i>i</i> through <i>l</i> as <i>j</i> through <i>m</i>, to skip the letter <i>i</i>. ■ In new letter <i>m</i>, transpose the words “perform properly” to read “properly perform.” | 22116 | 11-27-2003 |
| F | Complete Text of Postal Service Privacy Act Systems of Records | Delete the section for system “USPS 050.010, Finance Records — Employee Travel Records (Accounts Payable).” | 22116 | 11-27-2003 |
| Appendix, Sections for System Names | | | | |
| 080.010 | Inspection Requirements | Delete the heading “Addresses of Division Postal Inspectors-in-Charge and the text “See exhibit 221.1.” | 22116 | 11-27-2003 |

| This chapter, sub- chapter, part, or section... | titled... | was updated to... | in <i>Postal Bulletin</i> issue number... | with an issue date of... |
|--|--|--|--|-------------------------------------|
| 120.110 | Personnel Records — Pre-Employment Investigation Records | Replace all text for the system with new text. | 22116 | 11-27-2003 |
| 500.000 | Address Change, Mail Forwarding, and Related Services | Change the word “their” to “a” in item <i>b</i> . | 22116 | 11-27-2003 |



Guide to Privacy and the Freedom of Information Act

Handbook AS-353

September 2003
Transmittal Letter

- A. Introduction.** One of the key strategies of the Postal Service's Transformation Plan is to achieve growth by adding value for customers. The proper collection, use, and protection of customer and employee information is a key part of that value proposition.
- B. New Handbook.** This new handbook replaces the following:
- Portion of subchapter 35 (Records and Release of Information) and the Appendix (Privacy Act Systems of Records) of the *Administrative Support Manual (ASM)*.
- C. Explanation.** This handbook provides direction and guidance for Postal Service employees, suppliers, or other authorized users with access to Postal Service records and information resources. The handbook also provides direction and guidance for customers, employees, suppliers, or other individuals on understanding how their information is collected, maintained, used, disclosed, and safeguarded.
- D. Distribution.** This handbook is distributed to all appropriate headquarters, area, district, and local Post Office employees. Please use PS Form 7380, *MDC Supply Requisition*, to request additional copies from the Material Distribution Center. This handbook is also published online at <http://blue.usps.gov/cpm/hbkid.htm>.
- E. Comments.** Submit questions, comments, or suggestions regarding this handbook to:
- FRANCIA SMITH
VICE-PRESIDENT AND CONSUMER ADVOCATE
US POSTAL SERVICE
475 L'ENFANT PLZ SW RM 10433
WASHINGTON DC 20260-2200
PHONE: 202-268-2281 FAX: 202-268-5531
- F. Effective Date.** This handbook is effective September 2003.

A handwritten signature in black ink that reads "Francia G. Smith".

Francia G. Smith
Vice President and Consumer Advocate

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1 Introduction

1-1 Purpose of This Handbook

This handbook, AS-353, *Guide to Privacy and the Freedom of Information Act*, describes the Postal Service's policies and procedures about the privacy of information relating to customers, employees, or other individuals, and the release and protection of Postal Service records. The Postal Service is mandated by law, and has adopted policies, to protect the privacy of its customers, employees, individuals, and suppliers. The Postal Service is also required to make its records available to the public consistent with the Freedom of Information Act and good business practices.

1-2 Customer Trust and Privacy Protection

For more than two centuries, the Postal Service has maintained a brand that customers trust regarding protecting the privacy and security of their information. As the privacy landscape evolves, the Privacy Office keeps up with developing legal and policy frameworks, new technologies, and best-in-class business models and practices. The Privacy Office has developed its customer privacy policy and procedures on a synthesis of the best business models and practices of the public and private sector. This includes established government agency laws, regulations, and guidelines, as well as privacy principles and best practices followed by the private sector.

1-3 How to Use this Handbook

The four chapters and the appendix to this handbook are organized to contain the following information:

| This part of the handbook... | contains... |
|-------------------------------------|---|
| Chapter 1 | <ul style="list-style-type: none">• General information about this handbook.• Overall and specific responsibilities of Postal Service officials and employees. |
| Chapter 2 | <ul style="list-style-type: none">• Relevant privacy laws.• Guidelines.• Postal Service policies. |

| This part of the handbook... | contains... |
|-------------------------------------|---|
| Chapter 3 | <ul style="list-style-type: none"> • Procedures related to privacy requirements, including the Privacy Act and privacy policies. |
| Chapter 4 | <ul style="list-style-type: none"> • Procedures related to the Freedom of Information Act (FOIA). |
| Appendix | <ul style="list-style-type: none"> • Privacy Act protections. • Postal Service systems of records covered by the Privacy Act. |

1-4 Handbook Application

This handbook covers the laws, policies, and procedures for all Postal Service records, and information related to customers, employees, individuals, and suppliers. This handbook applies to Postal Service employees, suppliers, or other authorized users with access to Postal Service records and information resources. The policies and procedures in this handbook cover the following types of information or information systems:

- Postal Service records.
- Information related to customers, employees, other individuals, and suppliers.
- Technologies, information systems, infrastructure, applications, products, services, and other information resources associated with collecting, maintaining, using, disclosing, and safeguarding customer, employee, or other individuals' information.

1-5 Roles and Responsibilities

1-5.1 General Responsibility

All Postal Service employees, business partners and suppliers, and other authorized users are responsible for following the policies and procedures in this handbook.

1-5.2 Specific Responsibility

1-5.2.1 Officers, Managers, and Employees

All officers, business and line managers, supervisors, and other employees are responsible for implementing privacy policies as required by this handbook and their Postal Service duties. Officers and managers ensure compliance with privacy policies through organizations and information resources under their direction, and provide resources required to appropriately protect the privacy of customer, employee, or other individuals' information.

1-5.2.2 **Suppliers, Business Partners, and Customers**

Suppliers, business partners, and customers are responsible for the following:

- a. *Suppliers and Business Partners.* All Postal Service suppliers and business partners who develop or have access to information resources that contain customer, employee, or other individuals' data, or who help to develop or implement a Postal Service web site or marketing e-mail campaign, are responsible for complying with Postal Service privacy policies and related business, security, and contracting practices.
- b. *Customers.* Customers must follow the applicable procedures for privacy and FOIA.

1-5.2.3 **Chief Privacy Officer**

The chief privacy officer (CPO) is responsible for the following:

- a. Developing and implementing policies, processes, and procedures for privacy, records, and FOIA.
- b. Reviewing privacy impact assessments and determining information sensitivity during the Business Impact Assessment (BIA) process.
- c. Advising management on strategic direction and trends.
- d. Evaluating technology that impacts privacy.
- e. Providing guidance on privacy and records policies.
- f. Directing the activities of the Privacy Office and the Records Office, and reporting to the Consumer Advocate.

Contact the Privacy Office at the following address:

PRIVACY OFFICE
US POSTAL SERVICE
475 L'ENFANT PLZ SW RM 10407
WASHINGTON DC 20260-2200
E-MAIL: PRIVACY@EMAIL.USPS.GOV

1-5.2.4 **Manager, Records Office**

The manager, records office, is responsible for the following:

- a. Managing the Records Office.
- b. Establishing procedures and guidelines to ensure that record management practices comply with the Privacy Act and FOIA.
- c. Answering questions about the policies and procedures in this handbook.

Contact the manager, records office, at the following address:

MANAGER RECORDS OFFICE
US POSTAL SERVICE
475 L'ENFANT PLZ SW RM 5821
WASHINGTON DC 20260-5821
PHONE: (202) 268-2608

1-5.2.5 Freedom of Information Act Coordinator

The FOIA coordinator, which is an ad hoc position located within each area and district office, is responsible for the following:

- a. Providing procedural guidance, upon request, to records custodians in a geographical area.
- b. Helping the manager, records office, with national records management activities, such as annual reporting of local FOIA and Privacy Act activities.

1-5.2.6 Records Custodian

Records custodians are responsible for ensuring that records within their facilities or organizations are managed according to Postal Service policies. Vice presidents are the custodians of records maintained at Headquarters. In the field, the records custodian is the head of a postal facility such as an area, district, post office, or other postal installation that maintains Postal Service records. Senior medical personnel are the custodians of restricted medical records maintained within postal facilities. The custodian of Employee Assistance Program (EAP) records is the Postal Service counselor, a supplier, or the Public Health Service, whichever provided the services.

1-5.2.7 Manager, Corporate Information Security

The manager of the corporate information security office is responsible for ensuring compliance with information security policies, including the protection of information resources containing customer, employee, or other individuals' information.

1-5.2.8 General Counsel

The general counsel or designee is responsible for deciding administrative appeals filed under the Privacy Act and FOIA. Appropriate legal counsel should be consulted by FOIA coordinators, records custodians, and others with legal questions about the Privacy Act or FOIA.

Contact the general counsel at the following address:

GENERAL COUNSEL
US POSTAL SERVICE
475 L'ENFANT PLZ SW RM 6001
WASHINGTON DC 20260-1100

1-5.2.9 Chief Postal Inspector

The chief postal inspector of the Inspection Service is responsible for handling Privacy Act and FOIA requests for Inspection Service records. Contact the chief postal inspector at the following address:

CHIEF POSTAL INSPECTOR
US POSTAL SERVICE
475 L'ENFANT PLZ SW RM 3100
WASHINGTON DC 20260-2100

1-6 Definitions

The following terms are used in this handbook.

1-6.1 **Record**

Recorded information, regardless of media, format, or physical characteristics, including electronic data developed or received by the Postal Service that it maintains in its custody or is maintained on its behalf. Machine-readable records are a collection of logically-related data treated as a unit. Records created during Postal Service business activities are Postal Service property. Postal Service records should be marked, for instance confidential or restricted, if the records should be protected from access or disclosure.

1-6.2 **System of Records**

A file, database, or program from which information about customers, employees, or individuals is retrieved by name or other identifier.

1-6.3 **Customers**

External customers of the Postal Service, including individual consumers and business customers.

1-6.4 **Individual**

Individual consumer, employee, or other individual.

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2 Laws, Guidelines, and Policies

2-1 The Best of Public and Private Practices

The Postal Service is subject to the privacy protection requirements of the Privacy Act, and the document access requirements of the FOIA. The Postal Service has also developed a customer privacy policy based on federal laws and guidelines and the best practices of the private sector. The privacy statutes, guidelines, and Postal Service policies described in this section provide a comprehensive privacy-protection framework.

2-2 Federal Laws

2-2.1 **The Postal Reorganization Act**

The Postal Service is restricted from sharing customer or mailing information by the Postal Reorganization Act, Title 39 of the United States Code (U.S.C.). Under 39 U.S.C. 412, the Postal Service cannot make available to the public, by any means or for any purpose, any mailing or other list of names or addresses (past or present) of customers or other persons, unless specifically permitted by statute.

2-2.2 **The Privacy Act**

The Privacy Act provides privacy protections for personal information maintained by agencies. A summary of the Privacy Act follows.

- a. *General.* The Privacy Act of 1974, 5 U.S.C. 552a, applies to federal agencies, including the Postal Service. The Act provides privacy protections for personal information that agencies maintain in a “system of records.” A system of records is a file, database, or program from which personal information is retrieved by name or other identifier. A full description of Privacy Act protections and Postal Service systems of records is contained in the appendix. Postal Service regulations regarding the Privacy Act are located in 39 Code of Federal Regulations (CFR) 266 and 268. Procedures relating to the Privacy Act are described in chapter 3.
- b. *Requirements.* When an agency maintains a system of records, it must publish a notice that describes the system in the *Federal Register*. The

notice must document how the agency manages personal information within the system. This includes how information is collected, used, disclosed, stored, and discarded. It also includes how individuals can exercise their rights to obtain access to and amend information relating to themselves contained in the system. The Privacy Act further requires that the Postal Service provide an appropriate privacy notice to individuals when they are asked to provide information about themselves.

- c. *Penalties.* The Privacy Act provides criminal penalties, in the form of fines of up to \$5,000, for any officer or employee who:
- (1) Willfully maintains a system of records that contains information about an individual without giving appropriate notice in the *Federal Register*; or
 - (2) Knowing that disclosure is prohibited, willfully discloses information about an individual in any manner to any person or agency not entitled to receive it.

The Privacy Act also provides criminal penalties, in the form of fines of up to \$5,000, for any person who knowingly and willfully requests or obtains under false pretenses any record about another individual.

2-2.3 **The Freedom of Information Act**

The FOIA, 5 U.S.C. 552, provides the public with a right of access to records (hard copy and electronic), that are maintained by federal agencies, including the Postal Service. The FOIA contains exemptions that authorize the withholding of certain information. Postal Service regulations implementing the FOIA are located in 39 CFR 265. Postal Service procedures governing the disclosure of information under FOIA are described in chapter 4.

2-2.4 **The Gramm-Leach-Bliley Act**

The Gramm-Leach-Bliley Act (GLB), Title V, 15 U.S.C. 6801–6827, governs the treatment of personal information when certain financial services are provided in the private sector. The GLB requires that customers be given notice about data practices, and choices as to whether data can be shared with unaffiliated parties. Examples of financial services include banking activities or functions; wire or monetary transfers; printing, selling, or cashing checks; or providing credit services. Financial services do not include accepting payment by check or credit card issued by another entity. The Postal Service has adopted policies to comply voluntarily with GLB for its products and services that would be considered financial services if offered by a private sector company.

2-2.5 **The Children’s Online Privacy Protection Act**

The Children’s Online Privacy Protection Act (COPPA), 15 U.S.C. 6501–6505, is intended to protect children’s privacy on the Internet. COPPA applies to operators of commercial web sites who direct the web site to, or knowingly collect information from, children under the age of 13. COPPA requires such

operators to provide notice of data practices, and to obtain parental consent before collecting children's personal information, unless certain exceptions apply. The Postal Service has adopted policies to comply voluntarily with COPPA in its web site operations.

2-3 Federal Agency Guidelines

The Federal Trade Commission (FTC) and the Office of Management and Budget (OMB) have issued guidelines related to privacy and data management practices for the private sector and federal agencies, respectively. The Postal Service has adopted policies and practices based on these guidelines.

2-3.1 Federal Trade Commission Privacy Principles

The FTC has established fair information principles that it recommends the private sector provide to their customers. The principles are notice, choice, access, security, and redress. Notice provides customers with information about the organization's data management practices before personal information is collected from them. Choice concerns obtaining the customer's consent before using the information for a purpose other than why it was collected (i.e., secondary uses). Secondary uses include other internal uses, such as to cross- or up-sell different products, or to share the information with third parties. Access provides customers a way to access and amend information the organization maintains about them. Security involves measures to protect against loss and the unauthorized access or disclosure of information. Redress provides a means by which customer questions and complaints can be received and processed.

2-3.2 OMB Privacy Guidelines

Since the Privacy Act was passed in 1974, the OMB has developed numerous guidelines relating to protecting the privacy of personal information collected by government agencies. Guidelines include the following publications:

- Guidance on Inter-Agency Sharing of Personal Data — Protecting Personal Privacy (12/2000).
- Privacy Policies and Data Collection on Federal Web Sites (6/2000).
- Guidance and Model Language For Federal Web Site Privacy Policies (6/1999).
- Privacy and Personal Information in Federal Records (1/1999).
- Privacy Act Implementation, Guidelines and Responsibilities (7/1975).

OMB emphasizes the Privacy Act and its role in new technologies. OMB gives particular attention to certain technologies on agency web sites, including web analyses tools such as cookies, and requires notice and agency head approval for their use.

2-4 Postal Service Policies

2-4.1 Customer Privacy Policy

The Postal Service customer privacy policy provides privacy protections for all of its customers, appropriately tailored for each customer segment (consumers and businesses). The policy applies to customer information collected via all channels, including hard copy forms, call centers, e-mail, and *www.usps.com*. The policy also includes specific notice and limitations regarding web analyses tools used on *www.usps.com*. A full statement of the customer privacy policy is available via a link on *www.usps.com*, in the footer on each page, or by contacting the CPO at the address in section 1-5.2.3. The Postal Service has also established policies to protect business customer information that is maintained in a system of records. See appendix. Procedures relating to privacy are described in chapter 3.

2-4.2 Marketing E-mail Policy

The Postal Service uses e-mail to communicate with current and potential customers. The Postal Service marketing e-mail policy applies when the Postal Service or its supplier sends an e-mail message to a customer, or prospective customer, which markets a different product than the customer may already receive from the Postal Service. Procedures for implementing the marketing e-mail policy are in chapter 3. The full text of the marketing e-mail policy is available in Management Instruction (MI) AS 350-2003-6, *Marketing E-mail*.

2-4.3 Supplier Policy

Suppliers and business partners must adhere to the Postal Service privacy policies if they have access to customer, employee, or other individuals' information; help to build or operate a web site; or conduct a marketing e-mail campaign. The contracts and agreements, whether or not covered by the *Purchasing Manual (PM)*, must include an appropriate privacy clause(s). See PM section 1.6, and clause 1-1, Privacy Protection.

2-4.4 Monitoring of Postal Service Equipment

The Postal Service reserves the right to access and monitor computer use and information contained in or passing through its information resources, including the contents of all messages sent over its electronic messaging systems. The Corporate Information Security Office and the Privacy Office have established policies and procedures to conduct monitoring, which are contained in MI AS-840-2003-3, *Electronic Messaging (E-mail)*.

3 Privacy Procedures

3-1 General

This chapter incorporates all privacy requirements, including Privacy Act and privacy policies, described in chapter 2. The chapter is organized by activities that trigger privacy requirements, and describes procedures that must be followed.

- Section 3-2 — Collecting information from customers, employees, or other individuals.
- Section 3-3 — Managing information relating to customers, employees, or other individuals.
- Section 3-4 — Requests for information by customers, employees, or other individuals.
- Section 3-5 — Disclosing customer, employee, or other individuals' information to third parties.
- Section 3-6 — Operating a customer web site.
- Section 3-7 — Sending marketing e-mail.
- Section 3-8 — Entering into a contract or business agreement.
- Section 3-9 — Computer matching programs.

3-2 Collecting Information from Customers, Employees, or Other Individuals

3-2.1 Collection

The Postal Service may only collect and maintain information relating to customers, employees, or other individuals that is needed or relevant to carry out a purpose authorized by statute or by executive order. To the greatest extent practical, information should be collected directly from the customer, employee, or individual. The Postal Service may not collect or maintain information describing how individuals exercise their rights protected by the First Amendment, unless the Postmaster General determines that the information is necessary to carry out a statutory purpose of the Postal Service.

3-2.2 Privacy Notice

The following describes privacy notice requirements.

- a. *General.* When the Postal Service asks customers, employees, or other individuals to provide information about themselves, and that information is maintained in a system of records, the Postal Service must provide an appropriate privacy notice. A system of records is a file, database, or program from which information about customers, employees, or individuals is retrieved by name or other identifier. The Privacy Office must approve all new forms (hard copy and electronic) that collect customer, employee, or other individuals' information.
- b. *Content.* The privacy notice must contain the following information:
 - (1) For individual consumers, employees, or other individuals, the privacy notice must explain:
 - (a) The reason why the information is being collected.
 - (b) Whether providing it is mandatory or voluntary, and the effects of not providing it.
 - (c) The routine uses or disclosures that may be made of it.
 - (d) Which statute or executive order authorizes the collection.
 - (e) That the customer privacy policy is available on www.usps.com (consumers only).
 - (2) For business customers, the notice is a statement that the customer privacy policy is available on www.usps.com.
- c. *How to Provide Privacy Notice.* The following describes how to provide a privacy notice, if required under section 3-2.2a., at different points where information is collected from customers, employees, or other individuals.

| Contact Point | Postal Service Procedures to Provide a Privacy Notice |
|---|---|
| In Person (Retail, interviews, etc.) | <ul style="list-style-type: none"> • Content of the notice must meet requirements of section 3-2.2b. • Provide the notice in writing or orally. If oral, provide the notice before collecting data, and include a note with the maintained information that notice was provided orally. |
| Hard Copy Forms | <ul style="list-style-type: none"> • Content of the notice must meet requirements of section 3-2.2b. • Place the notice on the form near where data is collected, or provide a separate privacy notice before collecting the data (e.g., Notice 70 or 70A). |

| Contact Point | Postal Service Procedures to Provide a Privacy Notice |
|---------------|--|
| Telephone | <ul style="list-style-type: none"> • Provide callers with a notice that meets the content requirements of section 3-2.2b. via an automation system or orally. If automated, the system must deliver a statement, when the caller is transferred to an option where information may be collected and maintained in a system of records, that the Postal Service has a privacy policy, and allow the caller to access the full content of the notice on the menu of options. Alternatively, call center agents may provide oral notice of the policy in accordance with in-person procedures in this table. • If a caller requests additional information, the call center agent should mail the caller a privacy notice, or direct the caller, if a customer, to the www.usps.com privacy policy. |
| Online | <ul style="list-style-type: none"> • For employees, a privacy notice that meets the content requirement of section 3-2.2b. must be available on the screen near where data is collected. • For customers, provide a link to the privacy policy on every page on www.usps.com. |
| E-mail | <ul style="list-style-type: none"> • If data may be collected as a result of an e-mail interaction and placed in a system of records, provide a privacy notice meeting the content requirements of section 3-2.2b. • Place the notice in the same e-mail that solicits data, or include the notice in response to e-mails from the customer, employee, or other individual. • For information on marketing e-mail policy, see MI AS 350-2003-6. |

3-2.3 Customer Choice

When customers provide their information when they register for or request a product or service, and the Postal Service maintains the information in a system of records, they must be given a choice if the information may be used subsequently for a secondary use. Secondary uses include marketing a different product to the customer, or sharing the information externally with third parties (other than Postal Service business partners or suppliers). Follow these procedures only if the Postal Service may want to contact the customer in the future for a secondary use.

- a. *Choice for Consumers requires “Opt-in.”* Opt-in choice requires an affirmative expression by the consumer that authorizes any secondary use.
- b. *Choice for Business Customers requires “Opt-out.”* Opt-out choice requires that the customer take an affirmative step to prevent any secondary use.
- c. *Customers must be able to freely modify their choice.* Customers must have the ability to modify their previous decision so that their current choice is incorporated.

The following table provides procedures on how to provide choice at different points where information is collected from a customer.

| Contact Point | Postal Service Procedures to Provide Choice |
|-----------------------|---|
| In Person / Telephone | <ul style="list-style-type: none"> Employees may direct the customer to <i>www.usps.com</i> to create a profile and select choice; may direct the customer to the Privacy Office at the address in section 1-5.2.3; or may provide the customer a privacy brochure that provides information about choice. |
| Hard Copy Forms | <ul style="list-style-type: none"> Provide text and opportunity to express choice for secondary uses on consumer forms. |
| Online | <ul style="list-style-type: none"> Provide customers who register on <i>www.usps.com</i> with the ability to create a profile, and select and amend their choices. |
| E-mail | <ul style="list-style-type: none"> If a customer wants to establish or amend their preference, direct the customer to register, create, or edit a profile on <i>www.usps.com</i>. For information on marketing e-mail policies, see MI AS 350-2003-6. |

3-3 Managing Information Relating to Customers, Employees, or Other Individuals

3-3.1 General

The following describes procedures that must be followed if information about a customer, employee, or individual is maintained in a system of records. A system of records is a file, database, or program from which information about customers, employees, or individuals is retrieved by name or other identifier. These procedures must be followed whether the information is obtained directly from the customer, employee, or individual, or from some other source.

3-3.2 Managing a System of Records

Manage each system of records as follows:

- a. *Authorized System of Records.* If a manager or employee maintains information about a customer, employee, or individual in a system of records, that system of records must be authorized. A description of authorized systems of records is listed in the appendix.
- b. *Data Management Requirements.* The applicable system of records in the appendix describes how information within the system must be managed. Specific data management requirements for each system of records include:
 - (1) Locations where records covered by the system are maintained.
 - (2) Types of customers, employees, or individuals whose records are contained in the system.

- (3) Types of records contained in the system.
- (4) Legal authority for maintaining the system.
- (5) Purpose(s) for which the system is maintained.
- (6) Permissible routine uses (disclosures) of records within the system.
- (7) Procedures for record storage, retrieval, safeguards, retention and disposal.
- (8) Contact information for the system manager.
- (9) Procedures for customers, employees, or individuals to access and request amendment of records.

3-3.3 **Creating, Amending, or Deleting a System of Records**

Create, amend, or delete a system of records as follows:

- a. *General.* Employees or managers must notify the Records Office if they are maintaining information about customers, employees, or other individuals in a system of records that is not authorized. The Records Office manages the process for creating, amending, or deleting an authorized system of records. The Records Office must accomplish the following steps before a program or system can be implemented or amended:
 - (1) Draft a notice creating or amending a system of records.
 - (2) Send the notice to the CPO and relevant Postal Service departments for review and approval.
 - (3) Forward the notice to Congress and the OMB.
 - (4) Publish the notice in the *Federal Register*.
- b. *Criteria for Amending a System.* The manager(s) of a system must notify the Records Office if planning to make changes to a program or system which require the authorized system of records to be amended. The following are examples of such changes:
 - (1) Changing the types of individuals or the scope of the population on whom the records are maintained.
 - (2) Expanding the types of information maintained.
 - (3) Altering the purpose for why information is collected.
 - (4) Altering the manner in which the records are stored or retrieved so as to change the nature or scope of these records (an example is a change from a manual to an automated system).
 - (5) Changing or adding a routine use (disclosures from the system).
- c. *Deleting a System.* When a need for maintaining records in a system of records no longer exists, the system manager must consult with the Records Office about deleting the system of records.

3-3.4 **Business Impact Assessment and Security**

Comply with Business Impact Assessment (BIA) and security requirements as follows:

- a. *Business Impact Assessment (BIA)*. The BIA is a document that addresses privacy and information security requirements of a new or existing information resource. Regarding privacy, the BIA ensures privacy compliance, and also determines the sensitivity of the system, which contributes to establishing the security plan for the resource. The executive sponsor of the information resource is responsible for completing and adhering to the BIA. Completed BIAs must be submitted to the CPO and the manager of corporate information security. Information regarding the BIA can be found in Handbook AS-805, *Information Security*. Contact the Privacy Office for privacy-related questions about the BIA or process.
- b. *Security*. Information about customers, employees, or other individuals must be kept secure, in accordance with Handbook AS-805, *Information Security*.
- c. *Testing*. The use of customer, employee, or other individuals' information for testing purposes must meet all written approval requirements found in Handbook AS-805, *Information Security*. Requirements for approval apply regardless of where the testing is conducted.

3-4 **Requests for Information by Customers, Employees, or Other Individuals**

Customers, employees, or individuals may request and obtain information regarding themselves that the Postal Service maintains in a system of records as described in this section.

3-4.1 **Requests to Access Information**

The following procedures govern customer, employee, or individual requests regarding whether the Postal Service maintains information about them, and to access that information, as well as Postal Service responses to such requests.

- a. *How to Request Information*. Customers, employees, or other individuals should follow these procedures to request information.
 - (1) *General*. Customers, employees, or other individuals who want to know whether the Postal Service maintains information about them in a system of records, and obtain access to that information, should follow the procedures described in the applicable system of records. The procedures for each system of records are listed in the appendix. A records custodian may, when deemed appropriate, request that an individual provide

either a notarized statement or a statement signed under penalty of perjury stating that they are the person they claim to be.

- (2) *Where to direct the request.* Direct the request to the records custodian, if known, or to the manager, records office, at the address in section 1-5.2.4. Employee requests to review or copy a record should be made to the installation where the record is kept. Employees requesting retired official personnel folders (OPF) may direct the request to any office and specify the installation where review is desired.
 - (3) *Content of request.* The requester should:
 - (a) Specify the information sought, and include other information as required by the applicable system of records (in appendix).
 - (b) Specify the system of records by name or number, as shown in the appendix, or otherwise reasonably identify the system of records.
 - (c) Provide enough information to identify the requester and to identify and locate the record.
 - (d) Include any other relevant information, such as preferences as to where and how to receive the information.
 - (e) Submit the request on letterhead, if available, if the request is made on behalf of an organization.
 - (4) *Customers registered on www.usps.com.* Customers that are registered users on *www.usps.com* may access their personal profile by logging into their account with their user name and password.
- b. *Responding to Requests:*
- (1) *Determine Sufficiency of Request.* Before disclosing any records, including whether records exist, the custodian should review the sufficiency of the request. Oral requests for records that are available to the public under section 4-4 may be answered by telephone. All other requests must be made in person or in writing, and follow the procedures in section 3-4.1a. The custodian must seek clarification from the requester if the information supplied to locate and identify the record is insufficient. Misdirected requests must be forwarded to the appropriate location with a copy of the referral to the requester.
 - (2) *Respond to the Requester.* Custodians must acknowledge requests for records within 10 days (excluding weekends and federal holidays) of receipt. Custodians should date stamp the request upon receipt. If requested records are not immediately available, the custodian must give the requester a date of availability. If records cannot be found or have been destroyed, the custodian must inform the requester.
 - (3) *Provide Records.* Once records are located, provide them to the requester as soon as practical, unless they should be withheld

under section 3-4.1b.(6). The custodian must provide releasable records to the requester in writing or in person as follows.

- (a) *In writing:* Send the requested information or copies of records to the requester via certified mail, return receipt service requested, as soon as any required fees or statement of release are received.
- (b) *In person:* Notify the requester when and where records will be available for inspection or copying, and comply with the requester's instructions if feasible. When a requester reviews records in person, the custodian or designee must be present and observe the requester's handling of the records. The custodian or designee must do the following:
 - Verify the requester's identity by checking official credentials such as a driver's license or similar identification.
 - Allow the requester to copy the record manually or with a copying machine.
 - Collect the records and any fees incurred.
 - Have the requester sign a statement that he or she reviewed the records.
- (4) *Additional instructions for response to employee requests.* Records are usually available for inspection and copying during regular business hours at the installation where the record is kept. The custodian may, however, designate other reasonable locations and times for inspection and copying of some or all of the records. Employees who want to review or copy their own records must do so on their own time, except as provided for under collective bargaining agreements.

Forward requests for a retired OPF to the installation indicated by the requester. The custodian at the installation where the review is to take place must determine if the information is releasable under section 3-4.1b.(6). If releasable, the custodian can obtain the OPF by sending an SF 127, *Request for Official Personnel Folder*, to:

NATIONAL PERSONNEL RECORDS CENTER
9700 PAGE BLVD
ST LOUIS, MO 63132-5100

When the custodian receives the OPF, the custodian must notify the requester that the information is available for review. After the requester reviews the OPF, the custodian must keep the folder for 30 days. If at the end of the 30 days, there is no further need to keep the OPF, then the custodian must return it by registered mail to the National Personnel Records Center.

- (5) *Additional Instructions for response to customer requests.* Customers must be given access to their information maintained by the Postal Service, except for confidential business data created by the Postal Service or derived from third parties, or if

exempt under section 3-4.1b.(6). Customers may not be given nonpublic or confidential information about other customers or the Postal Service.

- (6) *Denying Requests.* The Postal Service may only deny customer, employee, or individual requests to know whether the Postal Service maintains records about them, and/or to obtain access to those records, if the requester does not follow procedures in section 3-4.1, or if the information is exempt under section 3-4.1b.(7). The custodian must consult with appropriate counsel before denying a request. Denials must be in writing and signed by the custodian or designee. The document must state the reasons for the denial and advise the requester of the right to appeal to the general counsel. See section 3-4.3.
- (7) *Exceptions to Release of Information.* The following information may not be released in response to customer, employee, or other individual requests for information about themselves.
 - (a) *Confidential Sources.* Information that identifies an individual who has requested and has been expressly promised anonymity in providing information to the Postal Service. This exception applies only to Postal Inspection Service records (which may be disclosed only on the authority of the chief postal inspector); preemployment investigation records; recruiting, examining, training, and placement records; equal employment opportunity discrimination complaint investigations and counseling records; and postmaster selection records.
 - (b) *Civil Actions.* Records compiled in reasonable anticipation of a civil action or proceeding such as a lawsuit or administrative hearing.
 - (c) *Law Enforcement.* Records of disclosures of information to law enforcement agencies.
 - (d) *Testing Material.* Information within records that might compromise testing or examination materials.
 - (e) *Registers.* Registers for positions to be filled. (On written request, an individual may be told whether prospects for appointment are good, fair, or unfavorable.)
 - (f) *Medical Records.* Medical or psychological records (including those received from the Department of Veterans Affairs, Public Health Service, or Office of Workers' Compensation Programs) when the medical officer determines that disclosure could have an adverse effect on the subject individual. These records may be made available to a physician designated in writing by the individual. In such cases, an accounting of disclosure must be filed. See section 3-4.4.
 - (g) *Uncirculated Supervisors' Notes.* Information about individuals in the form of uncirculated personal notes kept

by Postal Service personnel, such as employees, supervisors, counselors, or investigators, which are not circulated to other persons. If notes are circulated, they become official records in a system of records, and must be shown on request to the employee to whom they pertain. Official evaluations, appraisals, or estimates of potential must be made available to the employee to whom they pertain.

- (h) *National Agency Checks*. Results of national agency checks and written inquiry investigations (NACI) conducted by the Office of Personnel Management. Advise individuals requesting NACI records to send their requests to:

DIRECTOR
BUREAU OF PERSONNEL INVESTIGATIONS
OFFICE OF PERSONNEL MANAGEMENT
NACI CENTER
BOYERS PA 16018-0001

- (i) *Exempt Systems of Records*. Information contained in any systems of records that is exempt from disclosure as allowed by the Privacy Act.
- (8) *Recording Responses*. For requests from individuals, the custodian must complete Form 8170, *Freedom of Information Act and Privacy Act Request Report*, in accordance with section 4-9. The custodian must also keep an account of the disclosure in accordance with section 3-4.4.

3-4.2 Requests to Amend Information

This section covers procedures by which customers, employees, or other individuals may request amendment of information about themselves that the Postal Service maintains in a system of records, and how the Postal Service responds to these requests.

- a. *How to Submit a Request*. Customers, employees, or other individuals should submit a request as follows:

- (1) *Oral Requests*. Oral requests can be made if the change concerns an error or correction that is unlikely to be disputed (for example, correcting a misspelling, misprint, mistake in computation, or other obvious error). The custodian may have the record changed without formally notifying the requester of the change. If the request may result in a dispute, the custodian must require that the request be made in writing.
- (a) *Written Requests*. Except as stated above, all requests must be in writing. The request must be submitted to the custodian in accordance with the procedures described in the applicable system of records in the appendix. Requesters must clearly identify themselves, the record in question, and the change desired. Requesters must state

- the reasons for the change, which may be relevance, accuracy, timeliness, or completeness.
- (b) *Customers registered on www.usps.com.* Customers that are registered users on *www.usps.com* may amend their personal profile by logging into their account with their user name and password.
- b. *How to Respond to a Request.* Custodians must follow these procedures to respond to a request:
- (1) *Acknowledge the request.* Within 10 days (excluding weekends and federal holidays) of any written request to amend a record, the custodian must acknowledge the request in writing and ask the requester for any additional information necessary for action on the request.
 - (2) *Act on the request.* Within 30 days (excluding weekends and federal holidays), the custodian must do the following:
 - (a) *Inquire.* Obtain more information as needed to determine whether amendment is appropriate.
 - (b) *Amend the information as necessary.* Correct or eliminate any information found incomplete, inaccurate, untimely, or irrelevant to the purpose of the system of records.
 - (c) *Notify the requester about the revised record.* Advise the requester of the change, and supply a courtesy copy of the revised record where practical. The custodian must also send a revised record to any person or agency to whom an accounting of disclosures has been made under section 3-4.4.
 - (d) *Denial.* Notify the requester in writing if any requested changes are denied in whole or in part, including the reasons for the denial. The denial must include notification that the requester may submit a statement of disagreement to be filed with the disputed record, or may appeal the decision. See section 3-4.3.

3-4.3 Appeals and Customer Redress

The following procedures apply to appeals by customers, employees, or other individuals, as well as customer questions and inquiries regarding Postal Service customer privacy policies.

- a. *Appeals.* Customers, employees, or other individuals may appeal denials of their request as to whether the Postal Service maintains records about them, or to access or amend those records. Appeals must be in writing and directed to the general counsel within 30 days of the date of denial, or within 90 days from a request if the appeal concerns a failure of the custodian to make a determination. The general counsel may consider late appeals. The letter of appeal must include:

- (1) Reasonable identification of the record the requester wishes to access or amend.
- (2) A statement of the action appealed and relief sought.
- (3) Copies of the request, the notification of denial, and any other related correspondence.

The general counsel should make a final decision within 30 days (excluding weekends and federal holidays) of the date of receipt of the appeal.

- b. *Customer Redress.* Customers who have questions or inquiries about Postal Service customer privacy policies, or treatment of their data under the policies, should direct questions to their local Postal Service contact, the program manager, or the Privacy Office at the address in section 1-5.2.3. Postal Service employees should contact the Privacy Office if they are unable to satisfy or answer the customer's inquiry.

3-4.4 **Accounting of Disclosures**

- a. *Requirement.* Custodians must keep an accurate accounting of every disclosure of information about an individual covered by a system of records, even if the disclosure is made at the individual's request. The only exceptions are as follows:
 - (1) Publicly available information. See section 4-4.
 - (2) Information disclosed to Postal Service employees or contractors in the performance of their Postal Service duties.
 - (3) Information disclosed to the individual to whom the information pertains, except that disclosures of OPF information to the employee must be accounted for.
- b. *Request for Accounting of Disclosures.* Individuals may request that the Postal Service provide its accounting of disclosures of records relating to themselves. The request must be made to the facility where the record is kept, and must clearly identify the requester and the system of records. Requests for accountings of disclosures pursuant to a computer match must be addressed to the manager, records office, at the address in section 1-5.2.4.
- c. *Response.* The custodian must notify the requester within 30 days (excluding weekends and federal holidays) of receipt of the request whether a record of disclosures exists. If such a record exists, the custodian must give the requester the disclosure information unless an exception under section 3-4.1b.(6) applies.
- d. *Disclosure Formats.* There are three types of disclosure formats:
 - (1) *Official Personnel Folders.* To disclose information in OPFs, follow these instructions: use Form 6100-B, *OPF Disclosure Accounting Form*, to account for disclosures to law enforcement officials. Use Form 6100A, *OPF Disclosure Accounting Form*, to account for all other disclosures.

- (2) *Union Representatives.* Except for disclosures of OPF information, use Form 6105, *Disclosure of Information About Employees to Collective Bargaining Agents*, to account for disclosures to collective bargaining agents.
- (3) *Other.* The format may be a memorandum to the file (see suggested format in exhibit 3-4.4), a copy of correspondence transmitting the disclosed information, a log, or other listing, and must show:
 - (a) The date, nature (such as employee accident records folder review), and purpose (such as legal proceeding) of the disclosure.
 - (b) The name and address of the agency or person to whom the disclosure was made.

Exhibit 3-4.4

Suggested Format for Memo on Disclosure

| |
|--|
| <p>Record of Disclosure from System of Records in Compliance with 5 U.S.C. 552a(c)</p> <p>Pertaining to: _____ [name of individual]___ Date: _____</p> <p>Information disclosed: _____ [state, summarize, or otherwise identify]_____</p> <p>Source: _____ [no. and name of system of records, identification of document(s), etc.]_____</p> <p>To: _____ [individual, organization (if any), and address]_____</p> <p>Purpose:</p> <p>Authority for disclosure: _____ [section of Act; no. of routine use; identification of written request or consent]_____</p> |
|--|

- e. *Filing and Retention.* The disclosure form must be filed, cross-indexed, or otherwise associated with the disclosed record, so that a complete accounting of disclosures can be constructed. The accounting must be kept for 5 years or the life of the disclosed record, whichever is longer.

3-4.5 Fees

Customers, employees, or other individuals may access, review, or amend their information free of charge. No fee is charged for the first copy of the requested record, up to the first 100 hundred pages. Additional or duplicate copies are charged at \$.15 per page. Deposit fees in Account Identifier Code (AIC) 127.

3-5 Disclosing Customer, Employee, or Other Individuals' Information to Third Parties

3-5.1 **General**

Information about a customer, employee, or other individual contained in a system of records cannot be released to another person, including a spouse, except as allowed under sections 3-5.2 and 3-5.3. An accounting must be kept of each disclosure per section 3-4.4.

3-5.2 **Internal Disclosures**

Information may be disclosed to any Postal Service employee, or employee of a supplier managing a Postal Service system of records, who needs the information in the performance of Postal Service duties.

3-5.3 **External Disclosures**

Information can only be disclosed externally under one of the following four conditions.

- a. *Consent.* The customer, employee, or individual has authorized the disclosure in writing. The requester must have a signed statement of consent from the customer, employee, or individual, dated no earlier than 1 year before the date the Postal Service receives the request. Customers, employees, or other individuals may invite third parties to be present when reviewing records, if they submit a written statement authorizing disclosure in their presence.
- b. *Statute.* The disclosure fits within one of 12 categories listed in the Privacy Act. See the appendix.
- c. *Routine Use.* The agency has established a routine use authorizing the disclosure. Routine uses for systems of records are contained in the appendix. To determine the complete list of routine uses that apply to a particular system of records, check the general list of routine uses that apply to the system, as well as the particular system itself to see if it contains any special routine uses.
- d. *Information that is Publicly Available.* Certain information relating to employees, business change of address, permit holders, and other information is deemed publicly available and may be released. See section 4-4.

3-5.4 **Coordination with Other Postal Service Offices**

The custodian must coordinate with other Postal Service offices as follows.

- a. *Congressional Requests.* All inquires from Congress which request records or information other than public information must be forwarded to:

SENIOR VICE PRESIDENT GOVERNMENT RELATIONS
US POSTAL SERVICE
475 L'ENFANT PLZ SW RM 10804
WASHINGTON DC 20260-3100

- b. *Legal Proceedings.* Before information is released pursuant to a subpoena or court order, appropriate counsel must be notified. Counsel advises on compliance with the request, and procedures for giving appropriate notice to the customer, employee, or other individual to whom the record pertains.

3-5.5 **Validating Records and Noting Disputes**

Before disclosing a record to a third party, the custodian must make reasonable efforts to ensure that it is accurate and complete enough to ensure fairness if a decision were made on the basis of the record. For example, it may be appropriate to advise recipients that the information was accurate as of a certain date. The custodian must clearly note any part of the record that is disputed and provide copies of any statement disputing the record.

3-6 **Operating a Customer Web Site**

These procedures apply to web sites used by customers, even if the web site does not collect customer information. When operating a customer web site, the procedures for notice, choice, access, security, and redress in sections 3-2 through 3-5 must be followed. The web site must also comply with the customer privacy policy on *www.usps.com* including its use of web analyses tools, such as cookies or web beacons. If the web site provides links to external web sites, the *Web Site Affiliation Program Management Instruction AS-610-2001-6* must be followed.

3-7 **Sending Marketing E-mail**

The Postal Service's marketing e-mail policy applies when the Postal Service, or its supplier, sends an e-mail message to a customer or prospective customer that markets a different product or service than the customer may already receive from the Postal Service. Managers or employees intending to send a marketing e-mail must follow the procedures for notice and choice in the tables in sections 3-2.2 and 3-2.3. Complete procedures are available in MI AS 350-2003-6, *Marketing E-mail*.

3-8 **Entering into a Contract or Business Agreement**

Suppliers and business partners with access to information relating to customers, employees, or individuals, or that help to build or operate a web site or conduct a marketing e-mail campaign, must adhere to Postal Service

privacy policies. Contracts and agreements, whether or not covered by the *Purchasing Manual* (PM), must include privacy clauses(s). For procedures to ensure the appropriate clause is included, consult the *Purchasing Manual* section 1.6 and clause 1-1, Privacy Protection, or contact the Privacy Office, Supply Management, or appropriate counsel.

3-9 Computer Matching Programs

A computer matching program is any computerized comparison of a Postal Service automated system of records with an automated system of another agency or internally. When using computer matching programs, the Postal Service must comply with Privacy Act requirements and OMB guidelines. The Postal Service Data Integrity Board is responsible for the review and approval of all Postal Service computer matching activities. The Records Office manages the process. All proposals, whether from Postal Service organizations or other government agencies, must be submitted to the Records Office at the address in section 1-5.2.4. Submit proposals at least 3 months in advance of the anticipated starting date to allow time for review and publication requirements. See MI AS 350-2003-5, *Computer Matching Programs*.

4 Freedom of Information Act (FOIA) Procedures

4-1 General

The FOIA provides the public with access to records maintained by the Postal Service, unless the records are exempt from disclosure. It is also Postal Service policy to make its records available to the public to the maximum extent consistent with the public interest. This chapter includes procedures that implement FOIA and Postal Service policy.

4-2 How to Make a FOIA Request

4-2.1 Format and Content

A FOIA request must be in writing, be a request for records, and bear the caption "Freedom of Information Act Request." Other requests for information are considered informal requests. Custodians should approve or deny informal requests for records under the substantive guidance in section 4-3, but not necessarily within the time limits required by the FOIA.

A requester should include the following information in a FOIA request:

- The requester's name, address, and daytime telephone number.
- A reasonable description of the records sufficient to permit the custodian to locate them with a reasonable amount of effort, and a description of any desired formats to receive the records.
- If seeking information about a company, the exact name and address of the company (many companies use similar names).
- The maximum amount of fees the requester is willing to pay without prior notice. If no amount is stated, the requester is deemed willing to pay fees up to \$25.
- The requester is not required to provide reasons for the request. However, because some or all of the requested records may be exempt from disclosure, the requester may state any reason(s) why he or she believes the record should be disclosed.

If necessary, the custodian may ask the requester for more information.

4-2.2 Requests for Expedited Processing

The requester may ask for expedited processing if able to demonstrate a compelling need. See section 4-3.7b.

4-2.3 Requests for Fee Waivers

The requester may ask that fees or the advance payment of fees be waived in whole or in part. See sections 4-7.3 and 4-7.5.

The waiver request must describe all of the following:

- How the information will be used.
- To whom it will be provided, including the public.
- How the public is to benefit from the disclosure.
- Any personal or commercial benefit that the requester expects from disclosure.
- The intended user's identity, qualifications, and expertise in the subject area.

4-2.4 Where to Direct FOIA Requests

Requesters should direct FOIA requests as follows:

- a. *General.* The requester should direct FOIA requests to the appropriate records custodian. If a requester seeks records maintained at two or more locations, the custodian is deemed to be the next senior common manager of all locations. If the custodian is not known, the requester should contact the manager, records office, at the address in section 1-5.2.4.
- b. *Employee Listings.* On written request, the Postal Service provides, to the extent required by law, a listing of employees working at a particular postal facility (but not their home addresses or Social Security numbers). FOIA requests for employee listings must be sent to the manager, records office, who is the custodian of all such records, except for lists relating to Inspection Service employees (see below).
- c. *Inspection Service Records.* FOIA requests for Inspection Service records must be sent to the chief postal inspector at the address in section 1-5.2.9.

4-3 How to Process a FOIA Request

Records custodians must process FOIA requests as follows:

4-3.1 General

The custodian is responsible for locating requested records, and determining whether to disclose them or to deny the request. Fees should be assessed per section 4-7. The custodian must keep a record of all documents provided or denied for a period of 6 years from the date of the final response. The

custodian should consult as needed with the FOIA coordinator, the manager, records office, or appropriate counsel before releasing or withholding records.

4-3.2 **Searches**

The custodian must make reasonable efforts to locate the requested records. This includes searches for records in electronic format, except when such effort would significantly interfere with the operation of the information system.

4-3.3 **Requests That Are Insufficient, Misdirected, or for Records That Do Not Exist**

If a custodian cannot locate a record based on the information furnished, the custodian must allow the requester to submit more information to describe the record. If feasible, the custodian should confer with the requester to clarify the request. Employees must forward misdirected requests to the appropriate custodian and notify the requester that the request has been forwarded. If there are no responsive records, the custodian must notify the requester.

4-3.4 **Releasing Records**

The custodian must locate and provide non-exempt records within the required time limits in section 4-3.7. If records are provided by written response, the custodian must explain any fees charged and how they may be paid, and attach copies of the requested records, in the format requested if feasible. As an alternative, the custodian may notify the requester in writing where and when records are available for copying. The custodian or a designee must be present during copying and collect any required fees. The custodian must send a letter to the requester confirming that records were so provided.

4-3.5 **Withholding Any Records**

The custodian must determine whether some or all of the documents, or portions of the documents, are exempt from disclosure, and provide a response within the time limits required in section 4-3.7. The decision to withhold information must be in writing, signed by the custodian or designee, and:

- a. Explain any fees to be charged and how they may be paid;
- b. Identify and explain all FOIA exemption(s) relied upon;
- c. Advise of appeal rights. See section 4-3.6.

The denial letter must include all non-exempt material, including any reasonable part of an exempt record that can be segregated, and a description of withholdings as follows. If records are withheld in part, black out or redact the exempt material, and note the applicable exemption in the margin of the record. If entire records or pages are withheld, provide a

reasonable estimate of the number of records or pages, unless such estimate would harm an interest protected by the exemption relied upon.

4-3.6 **Appeal Rights**

Letters denying FOIA requests must include language such as the following: “You have the right to appeal this denial by writing to the General Counsel, United States Postal Service, 475 L’Enfant Plaza SW, Washington DC 20260-1100, within 30 days of the date of this letter. The letter of appeal should include a statement about the action or failure to act being appealed, the reasons why it is believed to be erroneous, and the relief sought, along with copies of your original request, this letter, and any other related correspondence.”

4-3.7 **Time Limits**

The custodian must respond to the requester in writing within the following time frames.

- a. *General.* The FOIA requires that requests be responded to within 20 days (excluding weekends and federal holidays). The 20-day period starts when a request has been received by the appropriate records custodian, and the request describes or has been clarified to describe records in a manner allowing them to be identified and located with a reasonable amount of effort. By mutual agreement, the custodian and the requester may establish a different response period.
- b. *Expedited Processing.* Requests for expedited processing must be granted when a requester demonstrates a compelling need. Compelling need exists if:
 - (1) Failure of the requester to obtain the records on an expedited basis could reasonably be expected to pose an imminent threat to the life or physical safety of an individual; or
 - (2) In the case of a request made by a person primarily engaged in disseminating information, there is an urgency to inform the public concerning actual or alleged federal government activity.

Within 10 days (excluding weekends and federal holidays) of receipt of the request for expedited processing, the custodian must notify the requester in writing whether the request is granted. If granted, the custodian must process the request for records as soon as practical. If denied, the custodian must include appeal rights in the letter under section 4-3.6.

- c. *Unusual Circumstances.* The custodian may extend the response period under unusual circumstances. Unusual circumstances include requests requiring: (1) review of voluminous records; (2) a search of facilities other than the one processing the request; or (3) consultation with another agency, or two or more components of the Postal Service, having a substantial interest in the records. Within the initial 20-day response period, the custodian must send a letter to the requester stating the reason for the delay. If the response can be made within

10 additional working days from the end of the response period, the letter should include the expected response date. Otherwise the letter should provide the requester an opportunity to limit the scope of the request and/or arrange an alternative time frame for response. If the requester and the custodian cannot agree on scope or time frames, then the custodian must process the FOIA request as soon as reasonably possible, and send a letter to the requester confirming the lack of agreement and providing an estimated response date. The custodian must send a copy of all correspondence to the manager, records office.

4-4 Records Available to the Public

The following information is considered public information, and is releasable to the public.

4-4.1 Reading Rooms

Information maintained in public and electronic reading rooms.

- a. *Public Reading Room.* The Postal Service maintains a public reading room in the Postal Service library. The following material is available:
 - (1) All final opinions and orders made in the adjudication of cases by the judicial officer and administrative law judges.
 - (2) All final determinations pursuant to the Postal Operations Manual (POM) to close or consolidate a Post Office or to disapprove a proposed closing or consolidation.
 - (3) All advisory opinions about the private express statutes issued under 39 CFR 310.6.
 - (4) All bid protest decisions.
 - (5) Postal Service manuals and publications that affect members of the public.
- b. *Electronic Reading Room.* The FOIA electronic reading room indexes information routinely available to the public, including material contained in the public reading room, as well as records previously released under FOIA that have been the subject of multiple requests. The electronic reading room may be accessed at www.usps.com/foia.

4-4.2 Employment Data

The name, job title, grade, salary, duty status, and dates of employment of any current or former Postal Service employee.

- a. *Credit References.* Credit bureaus, banks, federal credit unions, and other commercial firms from which an employee is seeking credit may be given public information about the employee. If a firm requests more information, it must submit a release form signed by the individual.

- b. *Job References.* Prospective employers may be given public information about a current or former employee. This includes the date and reason for an employee's separation from the Postal Service, but the reason for separation must be limited to one of the following terms: *retired, resigned, or separated.* Other terms or variations of these terms (e.g., *retired — disability*) may not be used. If additional information is desired, the requester must submit the written consent of the employee.

4-4.3 **Business Change of Address**

The new address of any business that has filed a change of address notice.

4-4.4 **Permit Holder Data**

The name and address of the holder of a particular bulk mail permit, permit imprint, or similar permit, and the name of any individual applying for a permit on behalf of a holder. Lists of permit holders may not be disclosed.

4-4.5 **Postage Meter License Holder Data**

The name and address of the holder of a postage meter license, provided the holder is using the license for a business. Lists of license holders may not be disclosed. All requests must be sent to the manager of Postage Technology Management at Postal Service Headquarters at:

METER LICENSEE INFORMATION REQUEST
 POSTAGE TECHNOLOGY MANAGEMENT
 US POSTAL SERVICE
 1735 NORTH LYNN ST RM 5011
 ARLINGTON VA 22209-6370

The request must include the original or copy of the envelope or wrapper on which the meter indicium is printed and a copy or description of the contents.

4-5 **Records Which May Be Withheld From Disclosure**

The FOIA provides nine exemptions under which records or portions of records may be withheld from public disclosure. A custodian may disclose exempt information as a matter of discretion if that disclosure is not prohibited by law and would not cause any foreseeable harm. The nine exemptions and records covered under each are listed in sections 4-5.1 through 4-5.9.

4-5.1 **Exemption 1 — National Defense and Foreign Relations**

Exemption 1 applies to classified national defense and foreign relations information.

4-5.2 **Exemption 2 — Personnel Rules and Practices**

Exemption 2 applies to records related solely to internal personnel rules and practices that are either (a) too trivial to be of genuine public interest, or (b) would enable circumvention of laws or regulations.

4-5.3 **Exemption 3 — Federal Law**

Exemption 3 applies to information that is exempt from disclosure under another federal statute. Examples include the Postal Reorganization Act, 39 U.S.C. 410(c) and 412.

39 U.S.C. 412 prohibits the disclosure of mailing lists or other lists of names or addresses (past or present) of Postal Service customers or other persons to the public by any means or for any purpose.

39 U.S.C. 410(c) permits the withholding of:

- a. The name or address, past or present, of any Postal Service customer.
- b. Information of a commercial nature, including trade secrets, whether or not obtained from a person outside the Postal Service, which under good business practice would not be publicly disclosed. Some examples are:
 - (1) Information about methods of handling valuable registered mail.
 - (2) Money order records.
 - (3) Technical information on postage meters and prototypes submitted for approval before leasing to mailers.
 - (4) Market surveys.
 - (5) Records indicating rural carrier lines of travel. On request, information of a general nature (e.g., an outline of the geographic area served by a particular rural route, the route numbers and number of boxholders or families on each rural route and highway contract route, and the number of families or businesses served within the total delivery area) may be disclosed. Do not disclose detailed information or use Postal Service route maps for this purpose. A map provided by the requester may be marked with the general information. Disclosure is a matter of local discretion when it is determined that to do so would not interfere with Postal Service operations.
 - (6) Records that would be of potential benefit to firms in economic competition with the Postal Service.
 - (7) Information that could materially increase procurement costs.
 - (8) Information that might compromise testing or examination materials.
- c. Information prepared for use in the negotiation of collective bargaining agreements under 39 U.S.C. 12, and minutes of or notes kept during the negotiating sessions.
- d. Information prepared for proceedings under 39 U.S.C. 36, relating to rates, classification, and service changes.

- e. Reports and memoranda of consultants or independent contractors, except to the extent that they would be required to be disclosed if prepared within the Postal Service.
- f. Investigatory files, whether or not considered closed, compiled for law enforcement purposes, except to the extent available by law to a party other than the Postal Service.

4-5.4 **Exemption 4 — Trade Secrets and Privileged Information**

Exemption 4 applies to trade secrets and privileged or confidential commercial or financial information provided to the Postal Service by a party outside the Postal Service, such as a supplier or customer. See section 4-6.3.

4-5.5 **Exemption 5 — Internal or Interagency Information**

Exemption 5 applies to interagency or internal memoranda or letters that would not be available by law to a private party in litigation with the Postal Service. This incorporates civil discovery privileges, including deliberative process privilege, attorney-client privilege, and attorney work-product privilege. The deliberative process privilege permits withholding of pre-decisional, deliberative (non-factual) information such as drafts, internal proposals, estimates, statements of opinion, analysis, advice, and recommendations of agency employees to be used in the decision-making process of an agency.

4-5.6 **Exemption 6 — Personal Information**

Exemption 6 applies to personal information, including medical and personnel files, the disclosure of which would be a clearly unwarranted invasion of personal privacy.

4-5.7 **Exemption 7 — Law Enforcement Records**

The following applies to law enforcement records.

- a. *General.* Exemption 7 applies to records compiled for law enforcement purposes, but only to the extent that providing these records:
 - (1) Could reasonably be expected to interfere with enforcement proceedings.
 - (2) Would deprive a person of a right to a fair trial or impartial adjudication.
 - (3) Could reasonably be expected to constitute an unwarranted invasion of personal privacy.
 - (4) Could reasonably be expected to disclose the identity of a confidential source including a state, local, foreign agency or authority, or any private institution that furnished information on a confidential basis. This also applies to records or information furnished by a confidential source and compiled by (a) a criminal law enforcement authority (such as the Postal Inspection Service)

- in the course of a criminal investigation or (b) an agency conducting a lawful national security intelligence investigation.
- (5) Would disclose techniques, procedures, and guidelines used in law enforcement investigations or prosecutions, if the disclosure could reasonably be expected to risk circumvention of the law.
 - (6) Could reasonably be expected to endanger the life or physical safety of any individual.
- b. *Criminal Law Investigation.* When a request is made that involves access to records covered by exemption 7 and the investigation or proceeding involves a possible violation of criminal law, the Postal Service may treat the records as not subject to FOIA requirements during such time that there is reason to believe that (1) the subject of the investigation or proceeding is not aware of it; and (2) disclosure of the existence of the records could reasonably be expected to interfere with enforcement proceedings.
- c. *Informant Records.* When informant records maintained by a criminal law enforcement agency under an informant's name or personal identifier are requested by a third party, the records may be treated as not subject to FOIA requirements unless the informant's status as an informant is officially confirmed.

4-5.8 **Exemption 8 — Financial Institutions**

Exemption 8 applies to information relating to the regulation or supervision of financial institutions.

4-5.9 **Exemption 9 — Geological Information**

Exemption 9 applies to geological information on wells.

4-6 **Special Categories of Records**

Custodians must follow these procedures when the following records are requested.

4-6.1 **Information on Individuals Other Than the Requester**

Such information may only be released as allowed under sections 3-5 and 4-5.6. There must be an accounting of any disclosure under section 3-4.4.

4-6.2 **Customer Names and Addresses**

The procedures related to the disclosure of customer names and addresses are as follows:

- a. *Customer or Mailing Lists.* Mailing lists or other lists of names or addresses (past or present) of Postal Service customers or other

persons may not be made available to the public by any means or for any purpose.

- b. *Mail and Mail Covers.* Information from the contents or cover of any customer's mail must not be recorded, photocopied, filed, or otherwise collected or disclosed within or outside the Postal Service, except for Postal Service operations and law enforcement purposes as specified in sections 213 and 274 of the *Administrative Support Manual*.
- c. *Address Location.* If the location of an address is known, a Postal Service employee may disclose the location or give directions to the address.
- d. *Release of Address Information:*
 - (1) *General.* Information relating to boxholders, change of address, and commercial mail receiving agencies may only be disclosed as permitted by the Privacy Act and routine uses for the applicable system of records. See the appendix, additional instructions in section 4-6.2d.(2), and exhibit 4-6.2a., *Address Disclosure Chart*.
 - (2) *Additional Instructions.* The following additional instructions must be followed relating to requests for change of address or boxholder information.
 - (a) *General.* Disclosures must be limited to the address of the specific individual about whom information is requested, not other family members or individuals whose name may appear on the change of address form. The address of an individual may be withheld to protect the individual's personal safety. If an individual has filed for a protective order, the address may not be disclosed except pursuant to a court order and on the advice of counsel.
 - (b) *To persons serving legal process.* This includes persons empowered by law, the attorney for a party on whose behalf service is to be made, or a party who is acting pro se (the term pro se means that a party is self-represented, and is not represented by an attorney). Do not provide a copy of the Postal Service form. Suggest that the requester use the standard format in exhibit 4-6.2b. If the requester uses the standard format on its own letterhead, the standard format must be used in its entirety, and the warning statement and certification must appear immediately before the signature block. If the request lacks any of the required information or a proper signature, the custodian must return it to the requester specifying the deficiency. Each request must specify all of the following information:
 - (i) A certification that the name or address is needed and will be used solely for service of legal process in connection with actual or prospective litigation.

Exhibit 4-6.2a

Address Disclosure Chart

| Type of Requester | Disclose Boxholder Information from PS Form 1093, Application for Post Office Box or Caller Service (Both Business and Personal Use) | Disclose Individual/ Family Change of Address from PS Form 3575 | Disclose Business Change of Address | Disclose Commercial Mail Receiving Agency Customer Information from PS Form 1583, Application for Delivery of Mail Through Agent (Both Business and Personal Use) |
|--|--|--|---|--|
| General public | No | No | Yes | No, except for the purpose of identifying a particular address as being that of a Commercial Mail Receiving Agency. Do not furnish copy of form. |
| Process server | Only if written request includes all of the information in exhibit 4-6.2b, including the warning and certification above the signature block. Do not furnish copy of form. The address of an individual who has filed a protective court order will not be disclosed. (See exception.*) | Only if written request includes all of the information in exhibit 4-6.2b, including the warning and certification above the signature block. Do not furnish copy of form. The address of an individual who has filed a protective court order will not be disclosed. | Yes | No, except for the purpose of identifying a particular address as being that of a Commercial Mail Receiving Agency. Do not furnish copy of form. |
| Subpoena or court order | Only if counsel concurs | Only if counsel concurs | Yes | Only if counsel concurs |
| Criminal law enforcement (applies to government agencies whose function is law enforcement such as local police department, county sheriff, state police, or FBI.) | Written requests from these agencies — follow the instructions for “government agency” below. Oral requests from these agencies — disclosure is not permitted. (See exception.*) | Written requests from these agencies — follow the instructions for “government agency” below. Oral requests from these agencies — disclosure pursuant to oral requests through the Inspection Service is permitted, if the Inspection Service has confirmed the information is needed for a criminal investigation. | Yes, including disclosure may be made pursuant to oral requests through the Inspection Service. | Only upon written certification of official need. Agencies should not use exhibit 4.6.2c in making these requests. However, requests must be in writing on agency letterhead certifying official need. Signature must be original — not preprinted, stamped or electronically prepared. (See exception.*) |
| Government agency | Only if written signed request is on letterhead and it is for official purposes. See required format in exhibit 4-6.2c. Signatures may be preprinted, rubber stamped, or electronically prepared; letterheads may be computerized. Duplicate envelopes or self-addressed stamped envelopes are not required. (See exception.*) | Only if written signed request is on letterhead and it is for official purposes. See required format in exhibit 4-6.2c. Signatures may be preprinted, rubber stamped, or electronically prepared; letterheads may be computerized. Duplicate envelopes or self-addressed stamped envelopes are not required. | Yes | Only upon written certification of official need. Agencies should not use exhibit 4-6.2c, in making these requests. However, requests must be in writing on agency letterhead certifying official need. Signature must be original — not preprinted, stamped or electronically prepared. (See exception.*) |

*** Exception:** If an individual boxholder or Commercial Mail Receiving Agency customer has filed a protective order with the postmaster, information from PS Form 1093, *Application for Post Office Box or Caller Service*, or from PS Form 1583, *Application for Delivery of Mail Through Agent*, may not be released unless the requester has obtained an order of a court of competent jurisdiction that requires the disclosure in spite of the existence of the protective order. Seek the advice of counsel.

Exhibit 4-6.2b

Change of Address or Boxholder Request Format – Process Servers

| | |
|---|--|
| Postmaster _____ | Date _____ |
| City, State, ZIP Code _____ | |
| REQUEST FOR CHANGE OF ADDRESS OR BOXHOLDER INFORMATION NEEDED FOR SERVICE OF LEGAL PROCESS | |
| Please furnish the new address or the name and street address (if a boxholder) for the following: Name: _____ Address: _____ | |
| Note: The name and last known address are required for change of address information. The name, if known, and post office box address are required for boxholder information. | |
| The following information is provided in accordance with 39 CFR 265.6(d)(4)(ii). There is no fee for providing boxholder or change of address information. | |
| 1. Capacity of requester (e.g., process server, attorney, party representing self): _____ | |
| 2. Statute or regulation that empowers me to serve process (not required when requester is an attorney or a party acting pro se — except a corporation acting pro se must cite statute): _____ _____ | |
| 3. The names of all known parties to the litigation: _____ | |
| 4. The court in which the case has been or will be heard: _____ | |
| 5. The docket or other identifying number if one has been issued: _____ | |
| 6. The capacity in which this individual is to be served (e.g., defendant or witness): _____ | |
| WARNING | |
| THE SUBMISSION OF FALSE INFORMATION TO OBTAIN AND USE CHANGE OF ADDRESS INFORMATION OR BOXHOLDER INFORMATION FOR ANY PURPOSE OTHER THAN THE SERVICE OF LEGAL PROCESS IN CONNECTION WITH ACTUAL OR PROSPECTIVE LITIGATION COULD RESULT IN CRIMINAL PENALTIES INCLUDING A FINE OF UP TO \$10,000 OR IMPRISONMENT OF NOT MORE THAN 5 YEARS, OR BOTH (TITLE 18 U.S.C. SECTION 1001). | |
| I certify that the above information is true and that the address information is needed and will be used solely for service of legal process in conjunction with actual or prospective litigation. | |
| _____ Signature | _____ Address |
| _____ Printed Name | _____ City, State, ZIP Code |
| POST OFFICE USE ONLY | |
| _____ No change of address order on file. | NEW ADDRESS OR BOXHOLDER'S NAME POSTMARK |
| _____ Moved, left no forwarding address. | AND STREET ADDRESS |
| _____ No such address. | _____ _____ _____ |

- (ii) A citation to the statute or regulation that empowers the requester to serve process, if the requester is anyone other than a party acting pro se or the attorney for a party for whom service will be made.
 - (iii) The names of all known parties to the litigation.
 - (iv) The court in which the case has been or will be commenced.
 - (v) The docket or other identifying number, if one has been issued.
 - (vi) The capacity in which the individual is to be served (e.g., defendant or witness).
- (c) *To a federal, state, or local government agency.* Address verification is provided to government agencies that provide written certification that the information is needed to perform their duties. Verification means advising the agency as to whether the address provided is one at which mail for that customer is currently being delivered. It does not mean or imply knowledge on the part of the Postal Service about the actual residence of the customer or the actual receipt of mail delivered to that address. Agencies must use the standard format in exhibit 4-6.2c when requesting address verification. If the request lacks any of the required information or a proper signature, the custodian must return the request to the agency specifying the deficiency in the space marked “other.”
- (d) *For jury service.* The known mailing address of any customer sought for jury service is provided without charge to a court official, such as a judge, court clerk, or jury commissioner, upon prior written request.

4-6.3 **Third Party Business Information**

A custodian must not release nonpublic third party business information without following these procedures.

- a. *General.* Under FOIA Exemption 4, any person or entity who submits business information to the Postal Service (“submitter”) is entitled to request that the information not be disclosed. The submitter may request that information be withheld: (1) when submitting the information, by designating all or part of the information as not releasable (e.g., by marking designated information as privileged or not releasable); or (2) in response to notice of a FOIA request. If information is supplied on a recurring basis, a simplified means of identifying non-releasable information may be agreed upon by the submitter and the custodian. Protective designations expire 10 years after the records were submitted unless the submitter provides a reasonable justification for a longer period. No action is needed by the custodian unless a request for the submitter’s information is received.

Exhibit 4-6.2c

Address Information Request Format – Government Agencies

(AGENCY LETTERHEAD)

To: Postmaster

Agency Control Number _____
Date _____

ADDRESS INFORMATION REQUEST

Please furnish this agency with the new address, if available, for the following individual or verify whether or not the address given below is one at which mail for this individual is currently being delivered. If the following address is a post office box, please furnish the street address as recorded on the boxholder's application form.

Name: _____
Last Known Address: _____

I certify that the address information for this individual is required for the performance of this agency's official duties.

(Signature of Agency Official)

(Title)

FOR POST OFFICE USE ONLY

| | |
|---|----------------------------|
| <input type="checkbox"/> MAIL IS DELIVERED TO ADDRESS GIVEN | NEW ADDRESS |
| <input type="checkbox"/> NOT KNOWN AT ADDRESS GIVEN | _____ |
| <input type="checkbox"/> MOVED, LEFT NO FORWARDING ADDRESS | _____ |
| <input type="checkbox"/> NO SUCH ADDRESS | |
| <input type="checkbox"/> OTHER (SPECIFY): | BOXHOLDER'S STREET ADDRESS |
| _____ | _____ |
| _____ | _____ |
| Agency return address | Postmark/Date Stamp |

b. *Notification:*

(1) *General.* Unless an exception applies, the custodian must notify a submitter within 5 days (excluding weekends and federal holidays) after a FOIA request is received for the submitter's business information if:

- The submitter has designated the information as protected from disclosure; or
- In the opinion of the custodian, or the general counsel in the case of an appeal, disclosure of the information could result in competitive harm to the submitter.

The notification must either describe the exact nature of the business information requested, or provide copies of the records or portions of records containing the business information. The custodian must notify the requester that notice and an opportunity to object are being provided to the submitter.

(2) *Exceptions.* Notification does not need to be made if:

- The custodian determines that the information will not be disclosed.
- The information lawfully has been published or has been officially made available to the public.
- Disclosure of the information is required by law (other than FOIA).
- Disclosure of the particular kind of information is required by a Postal Service regulation. In such cases, the custodian must provide advance written notification to the submitter if the submitter had designated the information as protected.

c. *Submitter Objections to Disclosure.* The custodian must give the submitter a reasonable time to provide a detailed written statement of any objection to disclosure. The objection must specify the grounds for withholding any of the information under any FOIA exemption. Specifically, under FOIA Exemption 4, the submitter must demonstrate why the information is a trade secret or commercial or financial information that is privileged or confidential. When possible, the objection should be supported by a statement or certification by an officer or authorized representative of the submitter that the information in question is confidential, has not been disclosed to the public by the submitter, and is not routinely available to the public from other sources. The objection and any accompanying information may also be subject to disclosure under FOIA.

d. *Disclosure.* If planning to disclose records over the submitter's objection, the custodian must furnish the submitter a written notice that includes:

- (1) A description of the business information to be disclosed.
- (2) A statement of the reasons why the submitter's objections were not sustained.

- (3) The specific date on which disclosure is to occur. The notice of intent to disclose must be provided to the submitter in a reasonable number of days before the specified disclosure date, and the requester must be notified of the notice of intent.
- e. *Nondisclosure.* If the custodian determines that any part of the requested records should not be disclosed, the custodian must notify the requester in writing, and include the right to appeal the decision. See section 4-3.6. A copy of the letter of denial must also be provided to the submitter in any case in which the submitter had been notified of the request. If a requester brings a lawsuit seeking to compel disclosure of business information, the general counsel or designee must promptly notify the submitter.

4-6.4 **Congressional Requests**

If the request is on behalf of Congress through a committee or subcommittee, disclosure is the general rule. In most cases, only the Executive privilege could justify nondisclosure. Consult appropriate counsel. Process all other congressional requests as a request from any person under the procedures in this chapter. Forward all requests for nonpublic records to Government Relations at the address provided in section 3-5.4a.

4-6.5 **Requests for Inspection Service Records**

The chief postal inspector is responsible for processing FOIA requests for information compiled for law enforcement purposes. The chief postal inspector may be contacted at the address in section 1-5.2.9.

4-6.6 **Records Subject to Litigation**

For records sought pursuant to subpoena, court order, summons, or regarding matters that are in litigation or likely to become the subject of litigation, the custodian must immediately advise appropriate legal counsel. Records may only be released on advice of counsel. Postal Service regulations concerning providing records subject to legal proceedings are contained in 39 CFR 265.11-13.

4-7 Fees

4-7.1 **General**

The Postal Service may charge fees for costs incurred in accordance with this section. The requester is responsible for the payment of all fees related to processing the request, even if requested records are not located or are determined to be exempt from disclosure. Requesters must make checks or money orders payable to the "United States Postal Service."

4-7.2 **Aggregate Requests**

When a custodian reasonably believes that a requester is attempting to break a request down into a series of requests to avoid fees, the custodian may aggregate the requests and charge accordingly. Multiple requests pertaining to unrelated subject matters are not aggregated. Requests made by more than one requester may be aggregated when a custodian has a concrete basis to conclude that requesters are acting together to avoid fees.

4-7.3 **Fees Not Assessed and Fee Waivers**

- a. *Fees not charged.* The Postal Service provides the following services free of charge:
 - (1) The first 2 hours of search time and the first 100 pages, except commercial requesters must pay the fees listed in section 4-7.4b.
 - (2) In addition to section 4-7.3a.(1), records that total \$10 or less, as determined by section 4-7.4b.
 - (3) Address information released pursuant to this handbook.
- b. *Fees waived for public interest.* The custodian may waive a fee in whole or in part, or any requirement for advance payment, when the custodian determines that providing the records is in the public interest because it is likely to contribute significantly to public understanding of the operations or activities of the federal government, and is not primarily in the commercial interest of the requester. In determining whether disclosure is in the public interest, all the following factors are considered:
 - (1) The relation of the records to the operations or activities of the Postal Service.
 - (2) The informative value of the information to be disclosed.
 - (3) Any contribution, and the significance of that contribution, to the public's understanding of the subject likely to result from disclosure.
 - (4) The nature of the requester's interest, if any, in the information, including personal or commercial interests.
- c. *Fees waived by officer.* Any Postal Service officer or designee, or the manager, records office, may waive in whole or in part any fee or the requirement for advance payment.

4-7.4 **Requester Categories and Fees Assessed**

Determine fees in accordance with this section. Round hourly rates to the nearest half hour.

- a. *Requester Categories.* To assess fees, the custodian must classify requesters into one of the following four categories:
 - (1) *Commercial use requesters.* Requesters who are furthering their commercial interests or the commercial interests of those they represent.

- (2) *Educational or noncommercial scientific institutions.* Institutions of higher learning, or institutions conducting scientific research not intended to promote a product or industry.
- (3) *News media representative.* A requester actively gathering news for an entity that disseminates news to the public (except that media requests for information to further their commercial interests are considered commercial use requests).
- (4) *Other.* All other requesters.

b. *Fees Assessed:*

| Requester Category | Search Time | Review Time | Duplication |
|----------------------------|---|--------------------|---|
| Commercial Use | \$32 per hour | \$32 per hour | \$.15 per page |
| Educational/ Scientific | None | None | 1-100 pages free, \$.15 per page thereafter |
| News Media | None | None | 1-100 pages free, \$.15 per page thereafter |
| Other Requesters | 2 hours free \$32/hour thereafter | None | 1-100 pages free, \$.15 per page thereafter |

c. *Fees for Computer Searches.* When information must be retrieved by computer, the following rates for computer time and personnel apply:

- **Computer processing:**

| | |
|--------------------------|---------------------|
| Mainframe usage | \$.39 per second |
| Midrange server usage | \$.06 per second |
| PC usage | \$ 7 per 15 minutes |
| Printing computer output | \$.14 per page |
| Magnetic tape production | \$24 per volume |
- **Personnel:**

| | |
|------------------|----------------|
| High technical | \$120 per hour |
| Medium technical | \$70 per hour |
| Low technical | \$50 per hour |

d. *Special Fees:*

- (1) *Domestic Special Services.* A copy of one or more of the following is provided upon payment of the fee in DMM section R900: a paid money order; the return receipt requested for mail sent COD, certified, registered, insured; or the domestic delivery record for articles sent COD, certified, registered, or insured. A list of persons who do not want to receive sexually-oriented advertising is provided upon payment of the fee listed in DMM section C032.
- (2) *Publications.* Publications and other printed materials may be provided at any established price or cost to the Postal Service.

- (3) *Other Fees.* Other direct costs related to processing a FOIA request that are not accounted for under this section may be assessed upon reasonable documentation to the requester.

4-7.5 **Advance Notice and Payment**

- a. *Advance Notice.* The custodian must notify the requester as soon as reasonably possible if the estimated processing cost is expected to exceed \$25, unless:
 - (1) The request specifies that whatever cost is involved is acceptable or is acceptable up to a specified amount that covers estimated costs; or
 - (2) Payment of all fees in excess of \$25 has been waived.
- b. *Advance Payment.* Advance payment is required:
 - (1) When the estimated fees are likely to exceed \$250 and the requester has no history of payment. The custodian may require an advance payment of an amount up to the full estimated charge before commencing work on the request.
 - (2) When a requester has previously failed to pay a fee within 30 days of billing. In such instances, the requester is required to pay the full amount owed and make an advance payment of the estimated fees.

When advance payment is required, the time for responding does not run between the date notice requiring advance payment is sent and the date payment is received.

4-7.6 **Accounting for Fees**

Custodians must account for fees as follows:

- a. For fees received at Post Office installations, deposit fees received as Postal Service funds. Record the amounts collected by entries to AIC 198, Freedom of Information Fees.
- b. For fees at non-Post Office installations, forward fees to the disbursing officer at the Eagan Accounting Service Center for deposit. Specify general ledger account 43388, Freedom of Information Fees, as the account for the amounts collected. Send fees to the following address:

DISBURSING OFFICER
EAGAN ACCOUNTING SERVICE CENTER
US POSTAL SERVICE
2825 LONE OAK PKWY
EAGAN MN 55121-9640

4-8 Appeals

4-8.1 General

Requesters may appeal decisions to the general counsel at the address in section 1-5.2.8. A requester may appeal any of the following:

- a. A request to inspect or copy a record is denied in whole or in part.
- b. A request for expedited processing is not approved.
- c. A request for waiver of fees is not approved.
- d. A request where the custodian make no determination within the required time.

4-8.2 Time Limit

The appeal must be sent within 30 days of the date of denial or other action, or within a reasonable time if the appeal is from a failure of the custodian to act. The general counsel may consider late appeals.

4-8.3 Required Appeal Elements

An appeal must include all the following information as applicable:

- a. A copy of the request, any letter of denial or other action, and any other related correspondence.
- b. A statement of the action, or failure to act, from which the appeal is taken.
- c. A statement of the reasons why the requester believes the action or failure to act is erroneous.
- d. A statement of the relief sought.

4-8.4 Final Decision

The decision of the general counsel is the final decision of the Postal Service. The general counsel promptly considers appeals for expedited processing of a request. All other decisions should be made within 20 days (excluding weekends and federal holidays) from receipt of the appeal by the general counsel. The 20-day response period may be extended when reasonably necessary to consider an appeal under one or more of the unusual circumstances described in section 4-3.7c. If not prohibited by law, the general counsel may direct disclosure of a record even though disclosure is not required. If the decision sustains a denial, the decision must justify why the request was denied and inform the requester of his or her right to judicial review.

4-9 Reporting

Custodians must account for FOIA requests and responses as follows.

4-9.1 General

These procedures apply to written requests that cite FOIA and/or the Privacy Act. At the time a response is made, custodians must also complete PS Form 8170, *Freedom of Information Act and Privacy Act Request Report*, with the following exceptions:

- a. Requests for individual change of address information under section 4-6.2.
- b. Requests from federal, state, or local government agencies for any type of information.
- c. Requests from a union, unless the request includes the written consent of the records subject authorizing the Postal Service to release records to the union representative.
- d. Any preprinted form, either a Postal Service form or third party form (e.g., from mortgage companies), on which the only reference to the Privacy Act is a Privacy Act notice.

4-9.2 Submissions

Custodians must submit completed PS Forms 8170 as follows:

| Records custodians | Where to send reports |
|--|---|
| Located in area offices | FOIA coordinator in the area office |
| Located in processing and distribution center offices | FOIA coordinator in the performance cluster |
| Located in customer service and sales district offices | FOIA coordinator in the performance cluster |
| Located in headquarters and headquarters field units | Manager, records office |
| Who are postmasters | FOIA coordinator in the performance cluster |

4-9.3 FOIA Annual Report

The manager, records office, submits a report concerning the administration of the FOIA to the Attorney General of the United States on or before February 1 of each year. The report is available to the public at www.usps.com/foia.

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Appendix – Privacy Act Systems of Records

Section A. Explanation

This appendix includes Section A — relating to systems of records under the Privacy Act.

Section B is a complete index of Postal Service systems of records, and is divided into two parts:

- Part 1 includes all general systems, such as personnel systems, litigation systems, and other non-customer systems.
- Part 2 includes all systems that contain records relating to Postal Service customers, and a brief description of each.

Section C contains an overview of the Privacy Act, its protections, and a description of authorized disclosures.

Section D contains the routine uses that apply to all general systems of records.

Section E contains the routine uses that apply to all customer systems of records.

Section F contains the complete text of Postal Service Privacy Act Systems of Records.

Section B. Systems of Records Index

Part 1. General Systems of Records

- 010.000 Collection and Delivery Records
 - .030 Carrier Drive-Out Agreements
 - .040 City Carrier Route Records
 - .080 Rural Carrier Route Records
- .020.000 Corporate Relations
 - .010 Biographical Summaries of Management Personnel for Press Release
- 030.000 Equal Employment Opportunity/Alternative Dispute Resolution
 - .010 EEO Discrimination Complaint Files
 - .020 EEO Staff Selection Records
 - .030 EEO Administrative Litigation Case Files
 - .040 Roster of Alternative Dispute Resolution Providers
- 050.000 Finance Records
 - .005 Accounts Receivable Files
 - .020 Payroll System
 - .040 Uniform Allowance Program
 - .060 Accounts Payable Files
- 060.000 Consumer Protection Records
 - .010 Fraud, False Representation, Lottery, and Nonmailability Case Records
 - .020 Pandering Act Prohibitory Orders
 - .030 Appeals Involving Mail Withheld from Delivery
 - .040 Appeals from Termination of Post Office Box or Caller Service
- 070.000 Inquiries and Complaints
 - .010 Correspondence Files of the Postmaster General
 - .020 Government Officials' Inquiry System
 - .040 Employee Complaint Records
- 080.000 Inspection Requirements
 - .010 Investigative File System
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 - .030 Vehicular Violations Records System
- 100.000 Office Administration
 - .010 Carpool Coordination/Parking Services Records System
 - .050 Localized Employee Administration Records
- 110.000 Property Management
 - .010 Accountable Property Records
 - .020 Possible Infringement of Postal Service Intellectual Property Rights
- 120.000 Personnel Records
 - .020 Blood Donor Records System
 - .035 Employee Accident Records
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 - .040 Employee Job Bidding Records
 - .050 Employee Ideas Program Records
 - .060 Confidential Statements of Employment and Financial Interests
 - .061 Public Financial Disclosure Reports for Executive Branch Personnel
 - .070 General Personnel Folders (Official Personnel Folders and Records Related Thereto)
 - .090 Medical Records
 - .091 Vehicle Operators Controlled Substance and Alcohol Testing Records
 - .098 Office of Workers' Compensation Program (OWCP) Record Copies
 - .099 Injury Compensation Payment Validation Records
 - .100 Performance Awards System Records
 - .110 Preemployment Investigation Records
 - .120 Personnel Research and Test Validation Records
 - .121 Applicant Race, Sex, National Origin, and Disability Status Records
 - .130 Postmaster Selection Program Records
 - .140 Employee Assistance Program (EAP) Records
 - .151 Recruiting, Examining, and Appointment Records
 - .152 Career Development and Training Records
 - .153 Individual Performance Evaluation/Measurement
 - .154 Employee Survey Process System Records
 - .170 Safe Driver Awards Records
 - .180 Skills Bank (Human Resources Records)
 - .190 Supervisors' Personnel Records
 - .210 Vehicle Maintenance Personnel and Operators Records
 - .220 Arbitration Case Files

- .230 Adverse Action Appeals (Administrative Litigation Case Files)
- .240 Garnishment Case Files
- 150.000 Records and Information Management Records
 - .010 Information Disclosure Accounting Records (Freedom of Information Act)
 - .015 Freedom of Information Act Appeals and Litigation Records
 - .020 Information Disclosure Accounting Records (Privacy Act)
 - .025 Privacy Act Appeals and Litigation Records
 - .030 Computer Logon ID Records
- 170.000 Resource Management/Productivity Records
 - .010 Workload/Productivity Management Records
 - .020 Resource Management Database
- 190.000 Litigation Records
 - .010 Miscellaneous Civil Action and Administrative Proceeding Case Files
 - .020 National Labor Relations Board Administrative Litigation Case Files
 - .030 Employee and Labor Relations Court Litigation Case Files
- 200.000 Nonmail Monetary Claims
 - .010 Relocation Assistance Claims
 - .020 Monetary Claims for Personal Property Loss or Damage Involving Present or Former Employees
 - .030 Tort Claims Records
- 210.000 Contractor Records
 - .010 Architect-Engineers Selection Records
 - .020 Driver Screening System Assignment Records
 - .030 Contractor Employee Fingerprint Records
 - .040 Supplier and Contractor Records
- 300.000 Inspector General's Records
 - .010 Investigative File System

Part 2. Customer Systems of Records

500.000 Address Change, Mail Forwarding, and Related Services

This system includes records relating to change of address, mail forwarding, and related services performed online or offline.

510.000 Registration, Fulfillment of Products and Services

.100 usps.com Registration

This system includes records relating to customers who register on *www.usps.com*.

.200 usps.com Ordering, Payment, and Fulfillment

Customers are required to provide information when ordering products or services on *www.usps.com*. This system includes records relating to the ordering, payment, and fulfillment for these products and services. Products and services include stamps, Postal Service products, shipping supplies, and shipping services, such as obtaining delivery status information, receipts, and labels.

.300 Offline Registration, Payment, and Fulfillment

This system includes records relating to customers who register, and/or order products or services by offline means. This system includes records related to the following activities: stamps and products by mail, catalog, phone, or fax; customer

loyalty programs; package service pick-up; and shipping supplies ordering and fulfillment offline.

520.000 Mail Management and Tracking

.100 Mailer Services — Applications and Approvals

This system includes records relating to customers who wish to use mail management and tracking products and services. This includes records relating to applications and approvals for programs including the following: CONFIRM, PostalOne!, presort accuracy systems, drop ship appointments, ePubWatch, and registration for Confirmation Services and Special Services.

.200 Mail Management and Tracking Activity

This system includes records relating to customers who use mail management and tracking services. This includes records related to orders for redelivery and hold mail services, schedule drop ship appointments, receive feedback on mailing efficiency, track their mailings, order mail transportation equipment, and receive electronic transmissions of mail scan information. Programs covered include PostalOne!, CONFIRM, ePubWatch, drop ship appointments, Delivery Unit Notification, Confirmation Services, and Special Services for which the customer has registered.

530.000 Customer Service and Correspondence

This system includes records related to customer service interactions. The system includes records related to customer service support provided by or for the following: Business Service Networks; Nonprofit Mailing Support; mail management and tracking products and services; Delivery Confirmation and Special Services; and other telephone, e-mail, and correspondence-based customer service interactions.

540.000 Customer Delivery Instructions

This system includes records relating to special delivery requirements. The system includes delivery instructions for the following customers: customers who receive mail delivery through agents, customers who are visually disabled and receive free mail matter, customers with noncompliant mailboxes, and customers who request that certain types of mail not be delivered.

550.000 Auction Files

This system includes records relating to individuals who request information about or participate in auctions of surplus and/or undeliverable items. This system includes records relating to online and offline auctions performed directly by the Postal Service or by third parties.

560.000 Financial Transactions

This system includes records relating to financial transactions. Financial transactions include funds transfers and online payment services, claims, and inquiries related to online payment services, funds transfers, money orders, and stored-value cards. The records include documentation of certain transactions required by anti-money laundering statutes and regulations.

570.000 Trust Funds and Transaction Records

.100 Trust Funds and Transaction Records

This system includes records collected from customers who open, maintain, and use trust fund payment accounts. This

Appendix – Privacy Act Systems of Records

system includes records relating to Permit, CAPS, PostalOne!, and Express Mail Corporate Accounts.

.200 Meter Postage and PC Postage Customer Data and Transaction Records

This system includes records relating to meter and PC Postage registration, usage, and payment.

580.000 Post Office and Retail Services

This system includes records relating to retail transactions conducted at Post Offices and other locations. This includes records relating to the following: passport applications and payment, Post Office box and caller services, and the use of self-service equipment. The system also contains records relating to special mail services, including domestic Insured Mail or Registered mail; collect on delivery (COD); insured, registered, and recorded international mail; domestic and international Express Mail; and inquiries and claims related to special mail services.

Note: Financial services, such as funds transfers, are covered by the system of records for Financial Transactions.

590.000 Sales, Marketing, Events, and Publications

This system includes records relating to customer interactions with sales personnel, responses to marketing messages, orders for Postal Service publications, and attendance at events. This system includes records relating to the following activities: sales, marketing (including business reply cards, e-mail campaigns, and telephone-based marketing interactions), subscriptions to Postal Service publications such as "Memo to Mailers," customer contests and surveys, and Postal Service events such as the National Postal Forum (NPF) and meetings of Postal Customer Councils (PCCs) and the Mailers Technical Advisory Committee (MTAC).

600.000 International Services

This system includes records relating to international transactions and services, including compliance with domestic and foreign customs requirements. This includes records relating to Customs Pre-Advisory System (CPAS), International Customized Mail Agreements, and international tray label tracking.

610.000 Identity and Document Verification Services

This system contains records related to Postal Service identity and document verification and authentication services. The services provide verification and authentication services, enhanced mail security, and enhanced customer service. Programs in the system include authentication services (such as verifying identities at postal facilities), public key certificates, and electronic postmarks.

Section C. Privacy Act Protections

Privacy Act

The Privacy Act of 1974, 5 U.S.C. 552a, applies to Federal agencies, including the Postal Service. The Privacy Act provides protections for personal information that an agency maintains in a system of records. A system of records describes a file, database, or program from which information is retrieved about an individual by name or other personal identifier.

Privacy Act Protections

The Privacy Act establishes recordkeeping, access, and nondisclosure requirements for information maintained in a system of records. The Privacy Act requires agencies to publish a description of each system of records to provide full information on how personal information within the system is treated. This includes how information is collected, used, disclosed, stored, and disposed of. It also includes how individuals can obtain access to, correct, and amend information relating to themselves that is stored in the system. The Privacy Act places limitations and requirements on how information from within a system can be disclosed, as described below. Sections D and E contain the complete description of routine uses that apply to the Postal Service systems of records.

Authorized Disclosures and Routine Uses

Under the Privacy Act, information can only be disclosed from a system, internally or externally, under one of two conditions.

1. The individual has authorized the disclosure in writing.
2. The disclosure fits within one of 12 specified categories.

The following is a description of disclosures, including those authorized by the Privacy Act, Postal Service routine uses, and regulations.

Disclosures Authorized by the Privacy Act

The Privacy Act authorizes disclosures in the following 12 circumstances. To see the official text of the Privacy Act, see 5 U.S.C. §552a(b).

Under the Privacy Act, disclosures are authorized:

1. To agency employees who need the information to perform their job.
2. As required by the Freedom of Information Act (FOIA).
3. For routine uses for which the agency has provided proper notice.
4. To the Bureau of the Census, for purposes related to census and survey activities.
5. To a recipient who provides advance written assurance that the information will only be used for statistical research or reporting and the information provided does not identify individuals.
6. To the National Archives and Records Administration, for historic preservation purposes.
7. To other domestic government agencies for a civil or criminal law enforcement activity, if the activity is authorized by law. In such cases, the agency head must specify in writing both the law enforcement activity and the particular information needed.
8. To a person, upon a showing of compelling circumstances affecting an individual's health or safety. The agency must send notice of the disclosure to the individual's last known address.
9. To Congress or to any of its committees or subcommittees, to the extent the matter is within their jurisdiction.
10. To the Comptroller General, in the performance of duties of the General Accounting Office.
11. Pursuant to the order of a court of competent jurisdiction.

12. To a consumer reporting agency in order to collect claims owed to the Government.

Postal Service Disclosures and Routine Uses

The Privacy Act allows agencies to disclose information from a system of records if they establish a routine use describing the disclosure (see 3. above). Under the Privacy Act, routine uses are defined as disclosures that are compatible with the purpose for which the information was collected — in other words, disclosures that are appropriate and necessary for the efficient conduct of government business. Routine uses for each system of records are established by publishing them in a Federal Register notice that describes the system. They must also be disclosed in a notice given to an individual when information is collected directly from the individual. Routine uses that apply to general and customer systems of records are contained in Sections D and E, respectively.

The Privacy Act also allows disclosures required by the Freedom of Information Act (FOIA). Postal Service regulations implementing the Privacy Act and FOIA are contained in 39 CFR Parts 261–268. Postal Service regulations describe treatment for particular FOIA and other requests, and describe exemptions permitting nondisclosure for certain personal and business information as allowed by FOIA.

Section D. Prefatory Statement of Routine Uses That Apply to General Systems of Records

General Systems of Records

Section D includes routine uses for general systems of records. General systems include systems relating to employees, Finance, Postal Inspection Service, litigation, and other systems that are not primarily related to Postal Service customers.

Routine Uses for General Systems

The following are routine uses for general systems of records.

Note: The letter “i” was not used. Each system notice indicates which standard routine uses are incorporated, as well as any specific routine uses that apply.

- a. *Disclosure for Law Enforcement Purposes.* When the Postal Service becomes aware of an indication of a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, or in response to the appropriate agency’s request on a reasonable belief that a violation has occurred, the relevant records may be referred to the appropriate agency, whether federal, state, local, or foreign, charged with enforcing or implementing the statute, rule, regulation, or order issued pursuant thereto.
- b. *Disclosure Incident to Litigation.* Records from this system may be disclosed to the U.S. Department of Justice or the other counsel representing the Postal Service, or may be disclosed in a proceeding before a court or adjudicative body before which the Postal Service is authorized to appear, when (1) the Postal Service; or (2) any Postal Service employee in his or her official capacity; or (3) any Postal Service employee in his or her individual capacity whom the Department of Justice has agreed to represent; or (4) the United States, when it is determined that the Postal

Service is likely to be affected by the litigation, is a party to litigation, or has an interest in such litigation and such records are determined by the Postal Service or its counsel to be plausibly relevant to the litigation, provided, however, that in each case, the Postal Service determines that disclosure of the records is a use of the information that is compatible with the purpose for which it was collected. This routine use specifically contemplates that information may be released in response to relevant discovery and that any manner of response allowed by the rules of the forum may be employed.

- c. *Disclosure Incident to Requesting Information.* Records may be disclosed to a federal, state, or local agency maintaining civil, criminal, or other relevant enforcement or other pertinent information, such as licenses, when necessary to obtain information from such agency that is relevant to a Postal Service decision about the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, permit, or other benefit.
- d. *Disclosure to Requesting Agency.* Records may be disclosed to a federal, state, local, or foreign agency in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the conduct of a security or suitability investigation of an individual, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency’s decision on the matter.
- e. *Congressional Inquiries.* Disclosure 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 prompting of that individual.
- f. *Disclosure to Agents and Contractors.* Records or information from this system may be disclosed to an expert, consultant, or other individual who is under contract to the Postal Service to fulfill an agency function, but only to the extent necessary to fulfill that function. This may include disclosure to any individual with whom the Postal Service contracts to reproduce, by typing, photocopy, or other means, any record for use by Postal Service officials in connection with their official duties or to any individual who performs clerical or stenographic functions relating to the official business of the Postal Service.
- g. *Storage.* Inactive records may be transferred to a Federal Records Center for storage prior to destruction.
- h. *Disclosure to Office of Management and Budget.* Records from this system may be disclosed to the Office of Management and Budget in connection with the review of private relief legislation, as set forth in OMB Circular No. A-19, at any stage of the legislative coordination and clearance process as set forth in that circular.
- j. *Disclosure to Outside Auditors.* Records in this system may be subject to review by an independent certified public accountant during an official audit of Postal Service finances.
- k. *Disclosure to Equal Employment Opportunity Commission.* Records from this system may be disclosed to an authorized investigator, administrative judge, or complaints examiner appointed by the Equal Employment Opportunity Commission, when requested in connection with the investigation of formal complaint

- of discrimination filed against the U.S. Postal Service under 29 CFR Part 1614.
- l. *Disclosure to Merit Systems Protection Board or Office of the Special Counsel.* Records from this system may be disclosed to the Merit Systems Protection Board or Office of the Special Counsel for the purpose of litigation, including administrative proceedings, appeals, special studies, investigations of alleged or possible prohibited personnel practices, and such other functions as may be authorized by law.
- m. *Disclosure to Labor Organizations.* Pursuant to the National Labor Relations Act, records from this system may be furnished to a labor organization when needed by that organization to properly perform its duties as the collective bargaining representative of Postal Service employees in an appropriate bargaining unit.

- provide Postal Service products and services to customers.
- 6. *Disclosure to Agencies and Entities for Financial Transactions.* Relevant records may be disclosed to credit bureaus, government agencies, and service providers that perform identity verification and credit risk assessment services; to financial institutions or payees to facilitate or resolve issues with payment services; or to collection agencies, for the purposes of debt collection.
- 7. *Disclosure to Auditors.* Relevant records may be disclosed to government agencies and other entities authorized to audit the Postal Service and Postal Service activities, including financial and other audits of the Postal Service.
- 8. *Disclosure for Customer Service Purposes.* Relevant records may be disclosed to entities if the disclosure is part of the service to the customer. This includes disclosures to addressees of mail to process inquiries and claims; entities to which the customer wants to provide identity verification; the State Department, for passport processing; international posts or agents, to process international services or inquiries; or disclosures to mailers of sexually oriented advertisements of a list of individuals who do not want to receive them.
- 9. *Disclosure to Labor Organizations.* Pursuant to the National Labor Relations Act, records may be furnished to a labor organization when needed by that organization to perform properly its duties as the collective bargaining representative of Postal Service employees in an appropriate bargaining unit.

Section E. Prefatory Statement of Routine Uses That Apply to Customer Systems of Records

Customer Systems of Records

Section E includes routine uses for systems of records containing information relating to Postal Service customers.

Routine Uses for Customer Systems

The following standard routine uses apply to Postal Service systems of records for customer information. The routine uses fall into three categories: 1) disclosures that are legally required (such as in a legal proceeding), 2) disclosures that facilitate the customer transaction (such as sharing data with contractors assisting in the program), and 3) disclosures for the benefit of the customer (such as sharing with a congressional office at a customer’s behest). A system may have an additional routine use or uses on occasion. Those routine uses will be disclosed in each system notice.

- 1. *Disclosure for Law Enforcement Purposes.* Relevant records may be disclosed to appropriate law enforcement agencies to investigate, prevent, or take action regarding suspected illegal activities against the Postal Service. Records may be disclosed to other law enforcement agencies as required by law.
- 2. *Disclosure Incident to Legal Proceedings.* When the Postal Service has an interest in litigation or other legal proceedings before a state, federal, local, administrative, or foreign adjudicative body, relevant records may be disclosed before that adjudicative body and/or to the Department of Justice or other legal counsel representing the Postal Service or its employees, and in response to relevant discovery.
- 3. *Disclosure to Government Agencies.* Relevant records may be disclosed to a federal, state, local, or foreign government agency when necessary in connection with decisions by the requesting agency or by the Postal Service regarding personnel matters, issuance of security clearances, letting of contracts, or decisions to issue licenses, grants, or other benefits.
- 4. *Congressional Inquiries.* Relevant records about an individual may be disclosed to a congressional office in response to an inquiry from the congressional office made at the prompting of that individual.
- 5. *Disclosure to Agents, Contractors, and Partners.* Relevant records may be disclosed to entities under contract or agreement with the Postal Service when necessary to fulfill a Postal Service function or to

Section F. Complete Text of Postal Service Privacy Act Systems of Records

Part 1 contains the complete text of the Postal Service’s General-Privacy Act systems of records.

**USPS 010.030
System Name
Collection and Delivery Records —
Carrier Drive-Out Agreements, 010.030**

System Location

Districts, Post Offices, and Information Systems Service Centers.

Categories of Individuals Covered by the System

Letter carriers who use privately owned vehicles to transport the mails pursuant to a valid agreement with the local postmaster.

Categories of Records in the System

Route number, name and address of carrier, Social Security number, and effective dates of the agreement.

Authority for Maintenance of the System

39 U.S.C. 1206.

Purpose(s)

To provide reimbursement to carriers driving their own vehicles.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

Records may be used to transfer necessary tax information to the Internal Revenue Service.

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

Storage

Preprinted forms, magnetic tape/disk, and computer printout reports.

Retrievability

The system is indexed by employees' Social Security number, pay location number, and pay period.

Safeguards

Normal precautions of filing equipment, limited access, and the physical security measures of the computer facility.

Retention and Disposal

- a. Agreements — Destroy when 2 years old.
- b. Postmaster's copy of the Form 1839, *Payment Record for Carrier Drive Out Agreements* — Destroy when 4 years old.
- c. Machine-readable records at the Accounting Service Center (PS Form 1839 information) — Destroy when 7 years old.

System Manager(s) and Address:

VICE PRESIDENT
OPERATIONS PLANNING
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-7000

VICE PRESIDENT CONTROLLER
FINANCE
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-5200

Notification Procedure

A carrier wanting to inquire whether this system of records contains information about him or her or to gain access to information pertaining to him or her must direct an inquiry to the head of the facility where employed. Inquiries must contain full name, Social Security number, the route worked, and the pay periods that the agreement was in force.

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

The individual to whom the record pertains.

USPS 010.040

**System Name
Collection and Delivery Records — City
Carrier Route Records, 010.040**

System Location

Postal Service Headquarters, area offices, districts, Post Offices, Information Systems Service Centers, and ADP contractor sites.

Categories of Individuals Covered by the System

City delivery letter carriers.

Categories of Records in the System

Employee name, Social Security number, age, route number, length of service, leave time, and whether or not a transportation agreement exists. Also included is information pertaining to workload, work schedule, performance analysis, and individual work habits; inspection reports of employee workload and workload adjustments; comments by employee and examiner on route adjustments and inspections; and statistical engineering records of carrier and route characteristics.

Authority for Maintenance of the System

39 U.S.C. 403, 404.

Purpose(s)

To assist management in evaluating mail delivery and collection operations and administering these functions efficiently.

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

Routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system.

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

Storage

Printed forms, computerized media, computer printouts.

Retrievability

Route number, employee name, or postal facility name.

Safeguards

Access to and use of these records are limited to those individuals whose official duties require such access.

Retention and Disposal

- a. Route inspection records and minor adjustment worksheets are retained for 2 years where inspections or minor adjustments are made annually or more frequently. Where inspections are made less than annually, the records that reflect the current route structure are retained indefinitely until a new inspection or minor adjustment is made. At that time, the former records are retained for 2 years. Disposal of records is by shredding or burning.
- b. Other records in system are retained for a period of up to 1 year, depending on the criticality of the information, and then destroyed by shredding or burning.
- c. Statistical engineering records are retained for 5 years and then further retained on a year-by-year basis as specifically justified.

System Manager(s) and Address:

VICE PRESIDENT
OPERATIONS PLANNING
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-7000

Notification Procedure

Inquiries must contain employee's name, Social Security number, and type of information being requested and must be forwarded to post office of employment.

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Employees, carrier supervisors, and route inspectors.

USPS 010.080

System Name

Collection and Delivery Records — Rural Carrier Route Records, 010.080

System Location

Post Offices having rural delivery operations, area offices, districts, Information Systems Service Center, National Customer Support Center (Memphis, TN), and contractor/licensee sites.

Categories of Individuals Covered by the System

Postal customers receiving rural mail delivery services, postal customers whose rural mail address has been converted to a locatable (street name and number) address, and rural carriers.

Categories of Records in the System

Employee name, route number, age, length of service, physical condition, quality of service, and vehicle adequacy. Also included in this system is information pertaining to employee workload, work schedule and performance analysis;

inspection reports of employees, workload and workload adjustments, route travel description; and employee and examiners' comments on adjustments and inspection. The system may also contain customer names, rural route location, and street name and number, if rural style address has been converted.

Authority for Maintenance of the System

39 U.S.C. 403, 404.

Purpose(s)

- a. To assist management in evaluating rural mail delivery and collection operations and administering these functions efficiently.
- b. To provide basis for payment of salary and vehicle maintenance allowance carriers.
- c. To assist government planning authorities in converting rural addresses to locatable (street name and number) street addresses.
- d. To provide address correction services to mailers who wish to have their mailing lists updated with the newly assigned or converted address.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Provide Bureau of the Census, Department of Commerce, address information as requested to assist them in their statutory requirement of census taking.
2. Rural route customer addresses may be disclosed to individuals or organizations authorized by a postal regulation to receive address correction information.
3. Name and address information may be disclosed to federal, state, and local government agencies as required by such agencies for the purpose of performing their official duties.
4. Name and address information may be disclosed to government planning authorities or firms under contract with those authorities for the purpose of assigning locatable (street name and number) addresses to rural addresses, but disclosure will be limited to that necessary for address conversion or assignment.
5. Disclosure of a customer's new locatable (street name and number) address may be made from the Locatable Address Conversion File to mailers wishing to have their mailing lists updated with the newly assigned address, but disclosure will be limited to the assigned addresses corresponding to those provided by the mailer.

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

Storage

Preprinted forms or lists in ordinary file equipment or on computer tape and printouts. Records of rural address conversion to locatable (street name and number) address are also consolidated in a Locatable Address Conversion Service

file on magnetic tape maintained by firms under contract or license agreement with the Postal Service.

Retrievability

Records are maintained by name and address of customer, and by route number, employee name, or postal facility name.

Safeguards

Access to and use of these records are limited to those individuals whose official duties require such access. Contractor/licensee Privacy Act protections are subject to impromptu onsite audits and inspection by the Postal Inspection Service.

Retention and Disposal

- a. Records in card or list form are maintained as long as the customer resides on the route; they are destroyed by shredding 1 year after the customer moves.
- b. Route travel description records and establishment and discontinuance orders are retained until route is discontinued and then transferred to the Federal Records Center within 2 years after discontinuance date.
- c. Trip reports are retained for 3 years and then disposed of by shredding or burning.
- d. Route inspection reports and mail count records (mail counts made annually or more frequently) are retained for 2 years. Where mail counts are made less than annually, records are retained until the next mail counts. Disposal of records is by shredding or burning.
- e. Other carrier records in system are retained for a period of up to 1 year, depending on the criticality of the information, and then destroyed by shredding or burning.

System Manager(s) and Address:

VICE PRESIDENT
OPERATIONS PLANNING
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-7000

Notification Procedure

Customers wanting to know whether information about them is maintained in this system of records must address inquiries to their local postmaster. Inquiries must include full name and address. Employee inquiries must state employee name and Social Security number, route number, specify the type of information being requested, and must be forwarded to Post Office where employed. Customers wanting to know whether information about them is also maintained in the Locatable Address Conversion System (LACS) must address such inquiries to:

MANAGER
NATIONAL CUSTOMER SUPPORT CENTER
UNITED STATES POSTAL SERVICE
6060 PRIMACY PARKWAY STE 101
MEMPHIS TN 38188-0001

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

The customer to whom the record pertains, employees, carrier supervisors, and route inspectors.

USPS 020.010

System Name

Corporate Relations — Biographical Summaries of Management Personnel for Press Release, 020.010

System Location

Office of Media Relations, Headquarters, Corporate Relations Service Centers (12 locations).

Categories of Individuals Covered by the System

Postal Service executives and managers, to include vice presidents, district managers, select major city postmasters, and other key management officials who may have frequent contact with news media or public speaking engagements.

Categories of Records in the System

Biographical summaries and photographs. Summaries include present title and responsibility, length of service, marital status, and participation in local community activities.

Authority for Maintenance of the System

39 U.S.C. 401, 1001.

Purpose(s)

To provide background information on postal management personnel in connection with public relations matters such as speaking engagements, media appearances, and appearances before civic, fraternal, and employee organizations.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, and l listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system.

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

Storage

Bond paper in file cabinets.

Retrievability

Name and title.

Safeguards

File cabinets are located in Corporate Relations offices where information is available only to individuals having a need for access.

Retention and Disposal

- a. Biographical sketches maintained at area offices are retained while the individual is assigned within the Area. If individual is promoted to or assigned to a position within the Postal Service outside the area,

Appendix – Privacy Act Systems of Records

biographical information is forwarded to the appropriate Corporate Relations office; if employment with the Postal Service is terminated, the sketch is destroyed by shredding.

- b. Biographical sketches kept at Postal Service Headquarters are retained indefinitely.

System Manager(s) and Address:

VICE PRESIDENT
CORPORATE RELATIONS
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-3100

Notification Procedure

Inquiries should contain name and position held and should be presented to the manager of Corporate Relations where currently, or previously, employed.

Record Access Procedures

Requests for access must be made in accordance with the Notification Procedure above.

Contesting Record Procedures

See Notification Procedure above.

Record Source Categories

The individual to whom the record pertains.

USPS 030.010

System Name

Equal Employment Opportunity — EEO Discrimination Complaint Files, 030.010

System Location

EEO Compliance & Appeals, Labor Relations, Headquarters; EEO Compliance and Appeals Processing Centers, area offices; districts; and contractor sites.

Categories of Individuals Covered by the System

Current and former postal employees, applicants for positions within the Postal Service, third-party complainants, and mediators (postal employees, other federal agency employees and contract employees).

Categories of Records in the System

Records may contain names, work locations, dates, Social Security numbers, the number of complaints and the resolution of complaints mediated, and other information as contained on affidavits, interview reports, investigative forms, counselor reports, exhibits, withdrawal notices, settlement agreements, briefs, appeals, copies of decisions, records of hearings and meetings, and other records related to complaints.

Authority for Maintenance of the System

Public Law 92-261, Equal Employment Act of 1972; 29 U.S.C. 621 et seq., Age Discrimination in Employment Act; 29 U.S.C. 701 et seq., Rehabilitation Act of 1973; and Executive Order 11478, amended by Executive Order 11590.

Purpose(s)

Used by EEO officers and the Equal Employment Opportunity Commission to adjudicate complaints of alleged discrimination

and to evaluate the effectiveness of the EEO program. Also used by Human Resources personnel to administer voluntary alternative dispute resolution programs.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Information contained in this system of records may be disclosed to an authorized investigator appointed by the Equal Employment Opportunity Commission, upon his/her request, when that investigator is properly engaged in the investigation of a formal complaint of discrimination filed against the U.S. Postal Service under 29 CFR part 1614 and the contents of the requested records are needed by the investigator in the performance of his/her duty to investigate a discrimination issue involved in the complaint.
2. Information may be disclosed to a mediator retained by the Postal Service when needed to resolve an EEO complaint at the precomplaint stage.

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

Storage

Paper case files. Status information required by the Equal Employment Opportunity Commission is maintained on ADP records. Records of alternative dispute resolution are maintained in an electronic database.

Retrievability

Case number. The custodian must also be furnished with the name of the complainant and the place where the complaint was filed. Case number consists of a number designating the area (or Headquarters), a letter designating the district, four digits for the chronological case number, and the last two digits of the applicable year.

Safeguards

Case files are maintained in secure file cabinets within locked rooms. ADP records are protected with password security.

Retention and Disposal

- a. Precomplaint records — Counselor/investigator notes are destroyed 1 year after a formal report is submitted to the EEO officer or 1 year following the final adjustment when made at that level.
- b. Formal complaint records — All closed cases are removed from the system quarterly. Each closed case is retained as follows: Official file, for 4 years; any copies, for 1 year; and background documents not in case file, for 2 years.
- c. ADP records — Closed case information is removed at the conclusion of the fiscal year and moved to an inactive file for future comparative analyses.

System Manager(s) and Address:

SENIOR VICE PRESIDENT
LABOR RELATIONS
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-4100

Notification Procedure

Individuals interested in finding out if there is information in this records system pertaining to them should contact EEO officers at the districts, area office, or Headquarters level, giving complainant name, postal location, region, file number, and year.

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Information is received from the complainant, witnesses, respondent, and through investigations and interviews.

Systems Exempted From Certain Provisions of the Act

Reference 39 CFR 266.9 for details.

USPS 030.020

System Name Equal Employment Opportunity — Equal Employment Opportunity Staff Selection Records, 030.020

System Location

Labor Relations, Headquarters, and districts.
Categories of Individuals Covered by the System
Candidates considered by Promotion Boards for EEO staff position.

Categories of Records in the System

Name of candidate, level, address, service computation date, date of birth, Social Security number, postal background, personal information required to assess employee qualifications for position, estimate of potential, and record of members of the Postal Service Promotion Board.

Authority for Maintenance of the System

39 U.S.C. 1001, Executive Orders 11478 and 11590.

Purpose(s)

To provide Headquarters with information needed to complete selection process.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system. Postal Service Promotion Board reviews these records to determine applicant's eligibility for appointment.

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

Storage

Forms, paper files.

Retrievability

Name of applicant and pay location.

Safeguards

Maintained in locked file cabinets within secured facility.

Retention and Disposal

Destroy 3 years from date the position becomes vacant.

System Manager(s) and Address:

SENIOR VICE PRESIDENT
LABOR RELATIONS
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-4100

Notification Procedure

Inquiries must be addressed to the head of the facility where application was made. Inquiries must contain full name, position applied for, the date the Promotion Board met, and Social Security number.

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Employee and employee personnel data.

USPS 030.030

System Name Equal Employment Opportunity — EEO Administrative Litigation Case Files, 030.030

System Location

Law Department, Postal Service Headquarters, and field offices; area offices and districts.

Categories of Individuals Covered by the System

Employees and applicants for employment involved in EEO litigation.

Categories of Records in the System

- a. Formal pleadings and memoranda of law.

Appendix – Privacy Act Systems of Records

- b. Other relevant documents may contain names, work locations, dates, Social Security numbers, and other information included on affidavits, interviews, investigative forms, counselor reports, exhibits, discovery, withdrawal notices, briefs, appeals, copies of decisions, records of hearings and meetings, and other records related to complaints.
- c. Miscellaneous notes and case analyses prepared by Postal Service advocates and other personnel.
- d. Correspondence and telephone records.

Authority for Maintenance of the System

39 U.S.C. 401, 409(d).

Purpose(s)

To provide advice and representation to the Postal Service.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

- 1. Information contained in litigation records is public to the extent that the documents have been filed in a court or public administrative proceeding, unless the court or other adjudicative body has ordered otherwise. Such public information, including information about the nature, status, and disposition of the proceeding, may be disclosed to any individual, unless it is determined that release of specific information in the context of a particular case would be an unwarranted invasion of personal privacy.
- 2. When considered appropriate, records in this system may be referred to a bar association or similar federal, state, or local licensing or regulatory authority for possible disciplinary action.

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

Storage

Case records are stored in paper folders and on magnetic tape or disk in automated office equipment.

Retrievability

Name of litigant(s).

Safeguards

Folders having paper documents are kept in secure filing cabinets within secured buildings or areas under the general scrutiny of authorized personnel. Computer terminals and tape/disk files are in a secured area, and access is restricted to personnel having an official need.

Retention and Disposal

- a. Selected Appeals Case Files — Destroy 4 years from date of final decision or when they have no further use

for reference, training, or similar purpose, whichever is longer.

- b. Appeal Case Files — Destroy 4 years from date of final decision.
- c. Paper records are shredded and computer tape/disk records are erased at the end of the retention period.

System Manager(s) and Address:

SENIOR VICE PRESIDENT
LABOR RELATIONS
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-4100

Notification Procedure

Individuals wanting to determine whether this system of records has information about them must write to the system manager and provide their name, case number, if known, and the approximate date the action was instituted.

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Note: Review of requests seeking amendment of records that have been the subject of a judicial or quasi-judicial administrative action will be limited. The amendment provisions of the Act are not intended to permit the alteration of evidence presented during an adjudication, nor are they intended to provide a means for collaterally attacking the finality of a judicial or administrative decision. Review of requests for amendment of adjudicative records will be restricted to determining whether the records accurately reflect the action of the judicial or administrative body ruling on the case and will not contain a review of the merits of the action.

Record Source Categories

- a. Individuals involved in EEO litigation.
- b. Counselor(s) and other representative(s) for parties in action other than the Postal Service.
- c. Other individuals involved in the development of EEO litigation. Source documents contain administrative complaint/action file, and other records relevant to the case.

Systems Exempted From Certain Provisions of the Act

Records or information in this system that have been compiled in reasonable anticipation of a civil action or proceeding are exempt from individual access pursuant to 5 U.S.C. 552a(d)(5). In addition, the Postal Service has claimed exemptions from certain provisions of the Act for several of its other systems of records, as permitted by 5 U.S.C. 552a(j) and (k). (See 39 CFR 266.9.) To the extent that copies of exempt records from those other systems are incorporated into this

system, the exemptions applicable to the original primary system must continue to apply to the incorporated records.

USPS 030.040
System Name
Equal Employment
Opportunity/Alternative Dispute
Resolution — Roster of Alternative
Dispute Resolution Providers, 030.040

System Location

Law Department, Postal Service Headquarters, and field offices; area and district offices.

Categories of Individuals Covered by the System

Individuals and organizations interested in providing Alternative Dispute Resolution (ADR) services to all disputes, except those arising under Postal Service collective bargaining agreements.

Categories of Records in the System

Name, address, telephone, and fax numbers of alternative dispute resolution providers; education, certification status, special qualifications; types of disputes mediated; partnering agreements; evaluation as a neutral; billing information; and any other correspondence relating to the individual performance or information contained on the survey.

Authority for Maintenance of the System

39 U.S.C. 401.

Purpose(s)

Used to determine an individual's qualifications to provide ADR services.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system. Another routine use follows:

To another federal agency, upon request, who needs the names and/or addresses and other information about ADR providers to arrange for or manage ADR proceedings for that agency.

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

Storage

Paper records are maintained in locked file cabinets and computer files on magnetic tape or disk in automated office equipment.

Retrievability

By ADR provider's name.

Safeguards

Paper records are kept in locked file cabinets; automated data are password protected.

Retention and Disposal

Files of active ADR providers: Cutoff file upon notification of decertification or removal. Destroy 1 year from date of cutoff. Files of rejected ADR providers: Cutoff file at end of year in which survey was received from prospective ADR provider. Maintain file for 1 year after cutoff date.

System Manager(s) and Address:

EXECUTIVE VICE PRESIDENT AND GENERAL COUNSEL
 LAW DEPARTMENT
 UNITED STATES POSTAL SERVICE
 475 L'ENFANT PLAZA SW
 WASHINGTON DC 20260-1100

Notification Procedure

Individuals wanting to know whether information about them is maintained in this system of records must address inquiries to the system manager. Inquiries must contain full name and address of the individual and date the survey was completed.

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Records Source Categories

Information is received from ADR provider completing survey.

USPS 050.005
System Name
Finance Records — Accounts Receivable
Files, 050.005

System Location

Information Service Centers (Minneapolis, San Mateo, and St. Louis), postal facilities, and contractor sites.

Categories of Individuals Covered by the System

Postal Service debtors such as the following: contractors who fail either to provide equipment, supplies, or services to the Postal Service as agreed or to purchase property from the Postal Service as agreed; customers who have written checks returned by the bank; payees of money orders who make an erroneous payment, improper payment, or overpayment; employees or former employees who make an erroneous payment, improper payment, or overpayment; employees, former employees, or private parties who lose or damage Postal Service property through carelessness, negligence, or malice.

Categories of Records in the System

Debtor's name, address, telephone number, and Social Security number; invoice and other information relating to the amount, history, and status of the claim; information relating to due process notice; and records reflecting information obtained from or disclosed to consumer reporting or credit reporting agencies for purposes of recovering the debt.

Authority for Maintenance of the System

39 U.S.C. 401; 5 U.S.C. 552a(b)(12); Debt Collection Act of 1982 (Pub. L. 97-365).

Purpose(s)

Records are used to facilitate debt collection, to monitor and record collections made by the Postal Service, and as a data source for management information for production of summary descriptive statistics and analytical studies.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Records in this system are subject to review by an independent certified public accountant during an official audit of Postal Service finances.
2. Disclosure may be made to a debt collection agency for collection of a debtor's account, as provided for by contract with the debt collection agency.
3. Disclosure of information about individuals indebted to the Postal Service may be made to the Office of Personnel Management (OPM) under approved computer matching efforts in which either the Postal Service or OPM acts as the matching agency but limited to those data elements considered relevant to determining whether the indebted individual has retirement funds available for set-off, collecting debts when funds are available for set-off, and writing off debts determined to be uncollectible.
4. Disclosure of information about individuals indebted to the Postal Service may be made to the Defense Manpower Data Center (DMDC) of the Department of Defense for conducting an authorized computer matching program in compliance with the Privacy Act of 1974, as amended, for the purpose of identifying and locating such individuals in order to initiate collection of the debts under the Debt Collection Act of 1982 (Pub. L. 97-365) through salary and/or administrative offset procedures.
5. Disclosure of information about individuals indebted to the Postal Service may be made to any federal agency where the debtor is employed or receiving some form of remuneration for enabling that agency to collect the debt on behalf of the Postal Service by counseling to debtor for voluntary repayment, or by initiating administrative or salary offset procedures under the Debt Collection Act of 1982.
6. Disclosure of information about individuals indebted to the Postal Service may be made to the Internal Revenue Service (IRS) through computer matching to obtain the mailing address of a taxpayer for locating such taxpayer to collect a debt owed to the Postal Service pursuant to 26 U.S.C. 6103(m)(2) and in accordance with 31 U.S.C. 3711, 3717, and 3718.

Note: Section F contains the complete text of Postal Service Privacy Act Systems of Records. Disclosure of a mailing address obtained from the IRS may be only for debt collection, including to a debt collection agency in order to facilitate the collection of a federal claim under the Debt Collection Act of 1982. A mailing address may be provided to a consumer reporting agency for the limited purpose of obtaining a

commercial credit report on the individual taxpayer. Any such address information obtained from the IRS will not be used or shared for any other purpose by the Postal Service.

1. Disclosure of information about individuals indebted to the Postal Service may be made to the IRS for effecting income tax refund offset procedures against the debtor, pursuant to 31 U.S.C. 3720A.
2. Disclosure of information about postal customers who write nonsufficient funds checks for postal services may be made to the permit holder or presenter of a mailing being made on the customer's behalf. Disclosure is limited to the identity of the customer, the date of the mailing, and the date and amount of the check.
3. Disclosure of information about individuals who are over 180 days delinquent in debts owed to the Postal Service may be made to the Department of the Treasury for cross-matching under its Treasury Offset Program. Disclosure will be limited to information needed to establish the identity of the individual as a payee of funds payable by another federal agency and to offset those funds by administrative offset.
4. Disclosure of information that a person is responsible for a claim which is current may be made to a consumer reporting agency or commercial reporting agency.
5. Disclosure of information about individuals from whom the Postal Service is attempting to collect or compromise a claim may be made to consumer reporting agencies for the purpose of obtaining a consumer report, as defined in the Fair Credit Reporting Act.

Disclosure to Consumer Reporting Agencies

Disclosures under 5 U.S.C. 552a(b)(12) may be made from this system to consumer reporting agencies as defined in the Fair Credit Reporting Act (15 U.S.C. 1681(a)(f)) and 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

Printed forms, punched cards, and magnetic tape.

Retrievability

Records are normally retrieved by Social Security number. When necessary, they may be retrieved by invoice number or name of employee, contractor, vendor, or other indebted individual.

Safeguards

Access is restricted to personnel of the General Accounting Section within the Postal Service and to contract employees responsible for assigned accounts. Computerized records are subject to the security of the computer room. Contract provisions make the contractor(s) responsible for complying with the provisions of the Privacy Act (subsection (m)(1)), except in the case of subsection (b)(12) disclosures to consumer reporting agencies (subsection (m)(2)).

Retention and Disposal

All information is retained for 4 years after claim is paid and then destroyed by burning or scratching.

System Manager(s) and Address:

VICE PRESIDENT CONTROLLER
FINANCE
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-5200

Notification Procedure

Individuals requesting information from this system of records will apply to the pertinent postal facility and present the debtor's name and Social Security number.

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Information is passed to this system from the Payroll Section, General Accounting Section, Claims Section, Postmasters, and Area Offices.

USPS 050.020

System Name

Finance Records — Payroll System, 050.020

- a. To compile various lists and mailing lists, e.g., Focus, Women's Programs Newsletter, etc.
- b. To support Postal Service personnel programs such as Executive Leadership, Nonbargaining Position Evaluations, Evaluations of Probationary Employees, Merit Evaluations, Membership and Identification Listings, Emergency Locator Listings, Mailing Lists, and Women's Programs and to generate retirement eligibility information and analysis of employees in various salary ranges.

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

Routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Retirement Deduction — To transmit to the Office of Personnel Management a roster of all Postal Service employees under Title 5 U.S.C. 8334, along with a check.
2. Tax Information — To disclose to federal, state, and local government agencies having taxing authority pertinent records relating to individual employees, including name, home address, Social Security number, wages, and taxes withheld for other jurisdictions.
3. Unemployment Compensation Data — To reply to state unemployment offices at the request of separated Postal Service employees.
4. Employee Address File — For W-2 tax mailings, Flexible Spending Account, Combined Federal

Campaign mailings, and postal mailings such as Postal Life, Focus, etc.

5. Salary payments and allotments to financial organizations — To provide relevant information to organizations receiving salary payments or allotments, as elected by the employee.
6. FICA Deductions — The Social Security Act requires that FICA deductions be made for those employees not eligible to participate in the Civil Service Retirement System or Federal Employees' Retirement System (casuals, temps and transitional employees). In addition, the Tax Equity and Fiscal Responsibility Act of 1982 requires that contributions to the Medicare program be deducted from all employees' earnings. (These statutes do not apply to employees in the Trust Territories who are not U.S. citizens.) Accordingly, records of earnings (e.g., W-2 information) must be disclosed to the Social Security Administration in order that it may account for funds received and determine individual's eligibility for benefits. Information disclosed includes name, address, SSN, wages paid subject to withholding, Federal, state, and local income tax withheld, total FICA wages paid and FICA tax withheld, occupational tax, life insurance premium, and other information, as reported on an individual's W-2 form.
7. To determine eligibility for coverage and payment of benefits under the Civil Service Retirement System, the Federal Employees' Retirement System, the Federal Employees' Group Life Insurance Program, and the Federal Employees' Health Benefits Program and transfer related records as appropriate.
8. To determine the amount of benefit due under the Civil Service Retirement System, the Federal Employees' Retirement System, the Federal Employees' Group Life Insurance Program, and the Federal Employees' Health Benefits Program and to authorize payment of that amount and to transfer related records as appropriate.
9. Records or information from the record of an individual may be disclosed to the following agencies for the named programs, when requested by that individual agency or program in connection with determining an individual's claim for benefits under such program: The U.S. Department of Labor, for the Office of Workers' Compensation Program and the Fair Labor Standards Act; the Social Security Administration, for Social Security Benefits programs (including retirement, survivors, and disability insurance); the Department of Veterans Affairs, for the Pension Benefits Program; the Health Care Financing Administration, for the Medicare Program; a branch of the Armed Services under military retired pay programs; and federal civilian employee retirement systems, including, but not limited to, the Civil Service Retirement System or the Federal Employees Retirement System.
10. To transfer earnings information under the Civil Service Retirement System or the Federal Employees' Retirement System to the Internal Revenue Service as required by the Internal Revenue Code of 1954, as amended.
11. To transfer information necessary to support a claim for life insurance benefits under the Federal Employees' Group Life Insurance, 4 East 24th Street, New York, NY 10010-3602.
12. To transfer information necessary to support a claim for health insurance benefits under the Federal

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- Employees' Health Benefits Program to a health insurance carrier or plan participating in the program.
13. As a data source for management information for production of summary descriptive statistics and analytical studies in support of the function for which the records are collected and maintained, or for related personnel management functions or manpower studies; may also be used to respond to general requests for statistical information (without personal identification of individuals) under the Freedom of Information Act or to locate specific individuals for personnel research or other personnel management functions.
 14. Certain information pertaining to postal supervisors may be transferred to the National Association of Postal Supervisors. Certain information pertaining to postmasters may be transferred to the National Association of Postmasters of the USA and/or the National League of Postmasters of the USA.
 15. To provide to the Office of Personnel Management (OPM) approximately 19 data elements (including SSAN, DOB, service computation date, retirement system, and FEGLI status) for use by OPM's Compensation Group. Data collected are not for the purpose of making determinations about specific individuals but are used only as a means of ensuring the integrity of the active employee/annuitant data systems and for analyzing and statistically projecting federal retirement and insurance system costs. The same data submission will be used to produce summary statistics for reports of federal employment.
 16. Records in this system are subject to review by an independent certified public accountant during an official audit of Postal Service finances.
 17. May be disclosed to a federal or state agency providing parent locator services or to other authorized individuals as defined by Pub. L. 93-647.
 18. Disclosure of information about current or former postal employees may be made to requesting states under approved computer matching efforts in which either the Postal Service or the requesting state acts as the matching agency, but limited to only those data elements considered relevant to making a determination of employee participation in and eligibility under unemployment insurance programs administered by the states (and by those states to local governments), to improving program integrity, and to collecting debts and overpayments owed to those governments and their components.
 19. To insurance carriers sponsored by unions and/or management associations for the purpose of determining eligibility for coverage and payment of benefits under those nonfederal insurance plans and transferring related records as appropriate.
 20. Disclosure of information about current or former postal employees may be made to requesting federal agencies or nonfederal entities under approved computer matching efforts in which either the Postal Service or the requesting entity acts as the matching agency, but limited to only those data elements considered relevant to making a determination of employee participation in and eligibility under particular benefit programs administered by those agencies or entities or by the Postal Service; to improving program integrity; and to collecting debts and overpayments owed under those programs.
 21. Disclosure of information about current or former postal employees may be made, upon request, to the Department of Defense (DoD) under approved computer matching efforts in which either the Postal Service or DoD acts as the matching agency, but limited to those elements necessary to identify postal employees who are ready reservists for the purposes of updating DoD's listings of ready reservists and reporting reserve status information to the Postal Service and the Congress.
 22. Disclosure of information about current or former postal employees may be made to requesting federal agencies or nonfederal entities under approved computer matching efforts in which either the Postal Service or the requesting entity acts as the matching agency, but limited to only those data elements considered relevant to identifying those employees who are absent parents owing child support obligations and to collecting debts owed as a result thereof.
 23. Disclosure of information about current or former postal employees may be made on a semiannual basis to the Department of Defense (DoD) under approved computer matching efforts in which either the Postal Service or DoD acts as the matching agency, but limited to only those data elements considered relevant to identifying retired military employees who are subject to restrictions under the Dual Compensation Act as amended (5 U.S.C. 5532) and for taking subsequent actions to reduce military retired pay or collect debts and overpayments, as appropriate.
 24. Disclosure of information about current or former postal employees may be made to requesting federal agencies under approved computer matching efforts in which either the Postal Service or the requesting entity acts as the matching agency. Disclosure will be limited to only those data elements considered relevant to identify individuals who are indebted to those agencies and to provide those individuals with due process rights prior to initiating any salary offset, pursuant to the Debt Collection Act.
 25. Disclosure of information about current and former employees may be made to the Selective Service System (SSS) under approved computer matching efforts in which either the Postal Service or SSS acts as the matching agency. Disclosure will be limited to only those data elements considered relevant to identify individuals eligible for registration under the Military Selective Service Act (50 U.S.C. App. 451 et seq.) to determine whether those individuals have complied with registration requirements and to enforce compliance when necessary.
 26. Disclosure of information about current or recently terminated postal employees who live or work in Colorado may be made to the Colorado Bureau of Investigation under an approved computer matching program. Disclosure will be limited to only those data elements that the Postal Service considers necessary for identifying currently or recently terminated employees who have been arrested for violations of law that relate to postal offenses and/or suitability for continued employment or who are fugitives and for assisting state or local agents to apprehend fugitives.
 27. Disclosure of information about current or former postal employees may be made to the Internal Revenue Service under computer matching efforts, but limited only to those data elements considered relevant to identifying individuals who owe delinquent federal taxes or returns and to collecting the unpaid taxes by levy on the salary of those individuals pursuant to Internal Revenue Code.

28. Records or information about group health plan coverage for career and certain temporary employees who have been identified by the Health Care Financing Administration (HCFA) as being eligible for Medicare benefits will be disclosed to HCFA, but disclosure will be limited to that necessary to confirm coverage and determine whether Medicare is the primary or secondary payer.
29. Disclosure of the information about current or recently terminated postal employees may be made to the Department of Transportation (DOT) under computer matching efforts, but limited only to those data elements considered relevant to identifying individuals who appear in DOT's National Driver Register Problem Driver Pointer System. The matching results are used only to determine as a general matter whether commercial license suspension information within the pointer system would be beneficial in making selections of Postal Service motor vehicle and tractor-trailer operator personnel and will not be used for actual selection decisions.
30. Disclosure of information about current or former postal employees may be made to the Internal Revenue Service under computer matching efforts, but limited only to those data elements relevant to making a determination as to the proper reporting of income tax purposes of an employee's wages, expenses, compensation, reimbursement, and taxes withheld and to taking corrective action as warranted.
31. Disclosure of limited information about current or former postal employees, who are identified through computer matching, may be made to the Department of Health and Human Services, pursuant to 42 U.S.C. 653, Parent Locator Service, for further release to state child support enforcement agencies when needed for locating noncustodial parents in order to establish and/or enforce child support obligations and for locating parents who may be involved in parental kidnapping or child custody cases.
32. Disclosure of information about current or former postal employees may be made to the Department of the Treasury for approved computer matching efforts under its Treasury Offset Program. Disclosure will be limited to information needed to establish the identity of the employee as an individual owing a delinquent debt to another federal agency and to offset the salary of the employee to repay that debt.
33. Disclosure of information about current or former postal employees may be made to 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 locating individuals and identifying their income sources to establish paternity, establish and modify orders of support, and for enforcement action.
34. Disclosure of information about current or former postal employees may be made 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.
35. Disclosure of information about current or former postal employees may be made to the Department of the Treasury for purposes of administering the Earned Income Tax Credit Program (Section 32, Internal Revenue Code of 1986) and verifying a claim with respect to employment in a tax return.

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

Storage

Preprinted forms, magnetic tape, microforms, punched cards, computer reports, and card forms.

Retrievability

Location, name, and Social Security number.

Safeguards

Records are kept in locked filing cabinets and are protected by computer passwords and tape library physical security.

Retention and Disposal

- a. Leave Application Files (Absence Control) and Unauthorized Overtime — Destroy when 3 years old.
- b. Time and Attendance Records (other than payroll) and local payroll records — Destroy when 3 years old.
- c. Information Service Center records retention — contact Information Service Center Payroll Systems or Manager, Post Office Accounting.

System Manager(s) and Address:

VICE PRESIDENT CONTROLLER
FINANCE
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-5200

VICE PRESIDENT
HUMAN RESOURCES
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW

Notification Procedure

Request for information on this system of records must be made to the head of the facility where employed, giving full name and Social Security number. Headquarters employees must submit requests to the system manager.

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Information is furnished by employees, supervisors, the Postal Source Data System, and the Electronic Time Clock System.

USPS 050.040

System Name Finance Records — Uniform Allowance Program, 050.040

System Location

Postal facilities employing personnel entitled to uniform allowances and the Information Service Center, St. Louis, MO, and contractor facilities where necessary to perform uniform supply and postal purchasing card services.

Categories of Individuals Covered by the System

Postal Service Employees entitled to uniform allowances.

Categories of Records in the System

Name, Social Security number, home address; uniform code, designation code, and pay location; account balance and invoices and other information relating to the uniform item(s) purchase.

Authority for Maintenance of the System

39 U.S.C. 1206.

Purpose(s)

To fund the procurement of uniforms.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Certain information may be furnished to a duly licensed uniform vendor from whom individual employees have made purchases for the purpose of accounting for payments.
2. Records in this system are subject to review by an independent certified public accountant during an official audit of Postal Service finances.
3. Disclosure of information about current or former employees may be made to a financial institution under contract with the Postal Service to provide purchasing card services with respect to the purchase of uniform items.
4. Disclosure of information about current or former employees may be made to a distribution firm under contract with the Postal Service to provide fulfillment services with respect to the purchase of uniform items.

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

Storage

Preprinted forms, microfilm, and magnetic tape.

Retrievability

Social Security number.

Safeguards

Forms are kept in file cabinets, and magnetic tape and microfilm are subject to Computer Center access control.

Retention and Disposal

- a. Post Office Case File — Destroy 3 years from date the employee leaves the Postal Service or is no longer in a bargaining unit.
- b. PDC Card File — Destroy 6 months after each Accounting Period.
- c. PDC Pay Listing and Machine-Readable Records — Destroy 6 years and 3 months from date of listing.

System Manager(s) and Address:

VICE PRESIDENT CONTROLLER
FINANCE
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-5200

Notification Procedure

Correspond with the head of the facility where employed, furnishing name and Social Security number.

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Payroll system and Postmasters have input to this system of records.

USPS 050.060

System Name Finance Records — Accounts Payable Files, USPS 050.060

System Locations

Post Offices, district and area finance offices, Postal Service Headquarters, imprest funds offices, personnel offices, accounting service centers, computer operations service centers, and contract travel and relocation agency offices.

Categories of Individuals Covered by the System

Individuals or entities to whom the Postal Service makes payment(s) for materials and services received or expenses incurred in conjunction with official Postal Service business. Includes employees and officers authorized to travel, relocate, or otherwise incur expenses in performance of their official duties. Also includes persons that receive payment for indemnity claims for damage to or loss of mail, service failures, and administrative tort claims.

Categories of Records in the System

This system is made up of hard copy and electronic records. The records include hard copies of commitment documents, purchase orders, requisitions, invoices, claims, and receipts and computerized transaction files and databases. These records contain creditors' name, address, vendor, tax identification, or Social Security number (employees and officers are considered vendors), finance number, e-mail address, logon identification code, travel and relocation plans, travel expense and relocation transaction details, expense dates, descriptions of expenses incurred, amount due, payment status, and payment history. For employees and officers using the government-supplied travel card for travel and relocation expenses, certain electronic records also contain the employee or officer's credit card account number. For electronic funds transfer transactions (EFT), files also include the creditor's financial institution routing number, and for EFT payments made by the Postal Service on behalf of employees and officers, the employee or officer's account number.

Authority for Maintenance of the System

39 U.S.C. 401, 404, 1001, 1206, 2008, and Public Law 104-134.

Purpose(s)

The records in this system support payments to Postal Service creditors. Information from these records is used to:

1. verify that goods and services were received by the Postal Service;
2. assure that expenses incurred were properly authorized;
3. reimburse employees, officers, and vendors for travel, relocation, and other expenses incurred in conjunction with official Postal Service business;
4. generate electronic funds transfer and hard copy check payment transactions to promptly pay creditors; and
5. offset delinquent debts that certain creditors owe to the federal government under the Department of the Treasury Offset Program.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses follow:

1. Disclosure of information about individuals for whom the Postal Service maintains accounts payable records may be made to the Department of the Treasury for cross-matching under its Treasury Offset Program. Disclosure will be limited to information needed to establish the identity of the individual as a delinquent debtor of another federal agency and to offset the payment to pay the debt.
2. Disclosure of the name and address of the owner of leased property, or of the payee when different from the owner, may be made upon request.
3. Disclosure of the employee or officer's Social Security number and government-supplied credit card account number may be made to the government travel card vendor in conjunction with payment of charges for authorized expenses charged to the government-supplied travel card.

4. Disclosure of the employee or officer's account number may be made to the financial institution designated by the employee or officer when reimbursing the employee or officer for authorized travel relocation expenses not charged to government-supplied travel card.

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

Storage

Hard copy documents are retained in Post Offices, district and area finance offices, Postal Service Headquarters, imprest fund offices, personnel offices, the St. Louis and San Mateo Accounting Service Centers, and contractor travel and relocation agency offices. Electronic records related to accounts payable transactions, including incoming invoices, government-supplied travel card transactions, and electronic funds transfer and other payment records, are maintained at the San Mateo Computer Operations Service Center (COSC). The electronic databases containing employee travel reimbursement system enrollment, logon ID, and travel expense transaction records are retained at the Eagan COSC.

Retrievability

Hard-copy accounts payable records are retrieved by vendor name (including employees and officers) and identification number within processing location, transaction date, and/or batch number. Electronic records are retrieved by vendor name, identification number, credit card number, financial institution account number, transaction date, and/or batch number.

Safeguards

Hard copy and electronic records within this system are located in buildings with controlled access. Hard copy records are stored in lockable file cabinets. Access to the buildings and to controlled areas within the buildings is restricted through use of guards and authorized badges and/or card keys and limited to persons whose duties require such access. Electronic records are protected with security software and operating system controls, including the use of logon identification codes and password firewalls that prevent unauthorized access to the private Postal Service computer network, and encryption of sensitive data elements. Information that is transmitted electronically between Postal Service facilities or between the Postal Service and external entities is also encrypted. Access is limited by these means to persons whose duties require it.

Retention and Disposal

Note: In addition to this system of records, certain accounts payable records are duplicated in USPS Privacy Act Systems 010.030, 050.040, 150.030, 160.010, 160.020, 200.020, and 200.030, each of which has relevant retention periods established. See those systems for the retention of the records described therein.

- a. Hard copies of accounts payable records, including requisitions, purchase orders, certified invoices, travel expense reports, relocation forms, and related records, are filed alphabetically by vendor name and invoice number (in the Postal Service facility where the payment transaction was processed) within batch number, and/or within accounting period. These records are retained for 3 years from the end of the fiscal year in which the expenses were paid, then shredded.

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- b. Hard copies of travel reimbursement system enrollment records are filed alphabetically, by employee or officer's last name, by responsible coordinator, within the Postal Service facility where the employee was enrolled into the system. These records are transferred to an inactive file when the employee or officer no longer participates in the electronic travel reimbursement system or separates from the Postal Service. The inactive records are retained until the end of the calendar year, then shredded.
- c. Electronic accounts payable payment records are retained online at the San Mateo COSC for 1 year from the end of the fiscal year in which the payment was made, archived for 6 additional years, then destroyed.
- d. Electronic travel reimbursement system employee and officer transaction records are retained online at the Eagan COSC for 3 years from the end of the fiscal year in which the reimbursement was claimed, archived for an additional year, then destroyed.
- e. Electronic travel reimbursement system employee and officer enrollment and logon ID records are retained online at the Eagan COSC until they are cancelled or superseded, when they are transferred to an inactive file. The inactive records are retained for 3 years from the end of the calendar year in which they became inactive, then destroyed.

System Manager(s) and Address:

VICE PRESIDENT CONTROLLER
FINANCE
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON, DC 20260-5200

Notification Procedure

Individuals wanting to know whether information about them is maintained in this system of records must address inquiries in writing to the system manager. Inquiries must contain the individual's name and taxpayer identification number (or Social Security number).

Record Access Procedures

Notification Procedures above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 39 CFR 266.6.

Contesting Record Procedures

See Notification Procedure and Records Access Procedures above.

Record Source Categories

Information in this system is furnished by Postal Service creditors, employees, and officers; Postal Service financial systems; the government travel card vendor; employee-designated financial institutions; and other federal agencies to which creditors are delinquently indebted. Some information may be duplicated in other Privacy Act systems of records including USPS 010.030, 050.040, 150.030, 160.010, 160.020, 200.020, and 200.030.

USPS 060.010

System Name

Consumer Protection Records — Fraud, False Representation, Lottery, and Nonmailability Case Records, 060.010

System Location

Law Department, Postal Service Headquarters.

Categories of Individuals Covered by the System

Complainants; respondents and opposing parties in proceedings initiated under 39 U.S.C. 3001, 3002, and 3005 about the sending of false representations, lotteries, or nonmailable matter through the mails; postal attorneys; attorneys representing parties; subjects of investigation and assigned postal inspectors.

Note: In many instances, respondents are business firms not covered by the Privacy Act.

Categories of Records in the System

Complainants, pleadings, motions, orders, hearing transcripts, adjudications, investigative reports, exhibits, documentary evidence, witness statements, appeals, briefs, memoranda of law, consent agreements, orders directing detention of mail correspondence, decisions and other documents pertaining to administrative proceedings, and litigation involving false representation, mailability, and lotteries.

Authority for Maintenance of the System

39 U.S.C. 3001, 3002, 3005, 3007, 3012; 18 U.S.C. 1301; 39 CFR Parts 952, 953.

Purpose(s)

Used by consumer protection attorneys to investigate and enforce postal statutes about false representation, lottery, and mailability; to represent the Postal Service in formal administrative proceedings before the Judicial Officer Department and in civil litigation.

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

General routine use statements a, b, c, d, e, f, g, h, j, and m listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Copies of initial, tentative, and final decisions are maintained in the Postal Service Library for public inspection and copying.
2. Official records of administrative proceedings are maintained by the recorder of the Judicial Officer Department for public inspection.
3. Information in litigation records is public to the extent that the documents have been filed in a court or public

administrative proceeding, unless the court or other adjudicative body has ordered otherwise. Such public information, including information about the nature, status, and disposition of the proceeding, may be disclosed to any individual, unless it is determined that release of specific information in the context of a particular case would be an unwarranted invasion of personal privacy.

4. When considered appropriate, records in this system may be referred to a bar association or similar federal, state, or local licensing or regulatory authority for possible disciplinary action.

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

Storage

Case records are stored in paper folders. Abbreviated summary and identifying information pertaining to each case is maintained in case file docket binders and on magnetic tape or disk in automated office equipment. Copies of decisions are maintained for public inspection in the Postal Service Library. Official records of proceedings are maintained by the recorder of the Judicial Officer Department.

Retrievability

Alphabetically by name of respondent and numerically by sequential docket number.

Safeguards

Records are stored in secure file cabinets under the general scrutiny of Postal Service attorneys. Access to computer data is restricted to personnel having an official need for access.

Retention and Disposal

Case files are moved to an inactive file 3 years after completion of action and disposed of 20 years from date of completion. Case file dockets are destroyed 20 years after the destruction of the case files to which they pertain.

System Manager(s) and Address:

SENIOR VICE PRESIDENT AND GENERAL COUNSEL
LAW DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-1100

Notification Procedure

Individuals wanting to know whether information about them is maintained in this system of records must address inquiries to the above system manager. Inquiries must contain full name, name by which respondent in proceeding may have been designated, and approximate time in which proceedings may have been initiated.

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Note: Review of requests seeking amendment of records that have been the subject of a judicial or quasi-judicial administrative action will be limited. The amendment provisions of the Act are not intended to permit the alteration of

evidence presented during an adjudication, nor are they intended to provide a means for collaterally attacking the finality of a judicial or administrative decision. Review of requests for amendment of adjudicative records will be restricted to determining whether the records accurately reflect the action of the judicial or administrative body ruling on the case and will not include a review of the merits of the action.

Record Source Categories

Complaints, correspondence between parties involved, and Postal Inspection Service investigative reports.

Systems Exempted From Certain Provisions of the Act

Records or information in this system that have been compiled in reasonable anticipation of a civil action or proceeding are exempt from individual access under 5 U.S.C. 552a(d)(5). In addition, the Postal Service has claimed exemptions from certain provisions of the Act for several of its other systems of records as permitted by 5 U.S.C. 552a(j) and (k). See 39 CFR 266.9. To the extent that copies of exempt records from those other systems are incorporated into this system, the exemptions applicable to the original primary system must continue to apply to the incorporated records.

USPS 060.020

System Name

Consumer Protection Records — Pandering Act Prohibitory Orders, 060.020

System Location

Law Department, Postal Service Headquarters and field offices; and Prohibitory Order Processing Center (POPC), Memphis, TN.

Categories of Individuals Covered by the System

Addressees who request orders prohibiting further mailings to them by mailers of pandering advertisements and the mailers against whom such orders are issued.

Note: In most cases, the mailers of advertising material are business firms not covered by the Privacy Act.

Categories of Records in the System

Applications for prohibitory orders and the mail pieces upon which they are predicated, issued orders, signed return receipts from mailers receiving the orders, applications for the enforcement of the prohibitory orders, complaints issued to alleged violators and signed return receipts showing their delivery, notices to mailers that court action will be sought, pleadings, exhibits, briefs, investigative reports, hearing transcripts, material documents from POPC managers' case files; initial, tentative, and final administrative decisions and appeals from such decisions; requests to U.S. Attorneys for court actions enforcing violated orders, complaints and other documents filed in bringing such actions; and orders, opinions, and other documents issued by the courts.

Authority for Maintenance of the System

39 U.S.C. 3006, 39 CFR Part 963.

Purpose(s)

To process applications for orders prohibiting mailers of pandering advertisements from making further mailings to the applicants, to determine whether violations of such orders

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have occurred, and to terminate the violations. Used by Prohibitory Order Processing Center personnel to effect such processing and determining; and by Postal Service attorneys in proceedings to terminate violations of the antipandering statute, including administrative proceedings before the Judicial Officer Department, requests to U.S. Attorneys for court action, and in court enforcement proceedings.

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

General routine use statements a, b, c, d, e, f, g, h, and j listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. To help mailers avoid repeated violations, records may be used to provide them with a list of individuals who have obtained prohibitory orders against them and applied for enforcement upon violation of those orders.
2. Copies of initial, tentative and final decisions rendered in administrative proceedings before the Judicial Officer Department are maintained in the Postal Service Library for public inspection and copying.
3. Official records of administrative proceedings are maintained by the recorder of the Judicial Officer Department for public inspection.
4. Information in litigation records is public to the extent that the documents have been filed in a court or public administrative proceeding, unless the court or other adjudicative body has ordered otherwise. Such public information, including information about the nature, status, and disposition of the proceeding, may be disclosed to any individual, unless it is determined that release of specific information in the context of a particular case would be an unwarranted invasion of personal privacy.
5. When considered appropriate, records in this system may be referred to a bar association or similar federal, state, or local licensing or regulatory authority for possible disciplinary action.

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

Storage

Case records are stored in paper folders and in a computer data base. Copies of decisions are maintained for public inspection in the Headquarters Library. Official records of proceedings are maintained by the recorder of the Judicial Officer Department.

Retrievability

By prohibitory order number or by name of individual requesting order.

Safeguards

Litigation files are stored in lockable file cabinets or rooms under the general scrutiny of Postal Service attorneys. Access to computer data is restricted to personnel having an official need for access.

Retention and Disposal

Case Files — Retained for 5 years following issuance of order or last application for enforcement.

System Manager(s) and Address:

SENIOR VICE PRESIDENT AND GENERAL COUNSEL
LAW DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-1100

Notification Procedure

Individuals wanting to know whether information about them is maintained in this system of records must address inquiries to the system manager. Inquiries must contain full name and address of the individual requesting the prohibitory order.

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Note: Review of requests seeking amendment of records that have been the subject of a judicial or quasi-judicial administrative action will be limited. The amendment provisions of the Act are not intended to permit the alteration of evidence presented during an adjudication, nor are they intended to provide a means of collaterally attacking the finality of a judicial or administrative decision. Review of requests for amendment of adjudicative records will be restricted to determining whether the records accurately reflect the action of the judicial or administrative body ruling on the case and will not include a review of the merits of the action.

Record Source Categories

Persons requesting prohibitory orders, mailers of pandering advertisements, Prohibitory Order Processing Center personnel, members of the Judicial Officer Department, and attorneys for the Postal Service and for the mailers.

Systems Exempted From Certain Provisions of the Act

Records or information in this system that have been compiled in reasonable anticipation of a civil action or proceeding are exempt from individual access pursuant to 5 U.S.C. 552a(d)(5). In addition, the Postal Service has claimed exemptions from certain provisions of the Act for several of its other systems of records as permitted by 5 U.S.C. 552a(j) and (k). See 39 CFR 266.9. To the extent that copies of exempt records from those other systems are incorporated into this system, the exemptions applicable to the original primary system must continue to apply to the incorporated records.

USPS 060.030

System Name

Consumer Protection Records — Appeals Involving Mail Withheld From Delivery, 060.030

System Location

Law Department, Postal Service Headquarters; Inspection Service.

Categories of Individuals Covered by the System

Individuals who appeal because of the withholding of their mail and attorneys representing such individuals.

Note: Business firm customers are not covered by the Privacy Act.

Categories of Records in the System

Original correspondence regarding the withholding of mail from delivery; records that document the withholding; investigative reports; evidence of delivery or attempted delivery of notices; petitions; pleadings, notes, and legal memoranda; discovery documents; briefs; settlement agreements; decisions, appeals, and orders.

Authority for Maintenance of the System

39 U.S.C. 204, 401, 3303, 3004; 18 U.S.C. 1302, 1341, and 1342; 39 CFR Part 964.

Purpose(s)

To enable the general counsel to represent the Postal Service in administrative proceedings before the Judicial Officer Department in which customers petition for review of cases in which the Inspection Service has withheld mail from delivery pursuant to 39 U.S.C. 3003 to 3004.

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

General routine use statements a, b, c, d, e, f, g, h, j, and m listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Copies of initial, tentative, and final decisions are maintained in the Postal Service Library for public inspection and copying.
2. Official records of administrative proceedings are maintained by the recorder of the Judicial Officer Department for public inspection.
3. Information in litigation records is public to the extent that the documents have been filed in a court or public administrative proceeding, unless the court or other adjudicative body has ordered otherwise. Such public information, including information about the nature, status, and disposition of the proceeding, may be disclosed to any individual, unless it is determined that release of specific information in the context of a particular case would be an unwarranted invasion of personal privacy.
4. When considered appropriate, records in this system may be referred to a bar association or similar federal, state, or local licensing or regulatory authority for possible disciplinary action.

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

Storage

Appeal case records are stored in paper folders, filed chronologically by date of closing. Abbreviated information, such as case name and other identifying data, is stored on index cards, filed alphabetically by case name, and on magnetic tape or disk in automated office equipment.

Retrievability

By Postal Service docket number and by name of individual whose mail has been withheld from delivery.

Safeguards

Records are maintained in secure filing cabinets under the scrutiny of Postal Service attorneys. Access to computer data is restricted to personnel having an official need for access.

Retention and Disposal

Appeal case records are destroyed 1 year after final disposition of case. Index cards are destroyed 6 months after final disposition of case.

System Manager(s) and Address:

SENIOR VICE PRESIDENT AND GENERAL COUNSEL
LAW DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-1100

Notification Procedure

Individuals wanting to know whether information about them is maintained in this system of records must address inquiries to the system manager. Inquiries must contain full name and address of the individual whose mail has been withheld and the approximate date of such withholdings.

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Note: Review of requests seeking amendment of records that have been the subject of a judicial or quasi-judicial administrative action will be limited. The amendment provisions of the Act are not intended to permit the alteration of evidence presented in the course of an adjudication, nor are they intended to provide a means of collaterally attacking the finality of a judicial or administrative decision. Review of requests for amendment of adjudicative records will be restricted to determining whether the records accurately reflect the action of the judicial or administrative body ruling on the case and will not include a review of the merits of the action.

Record Source Categories

Individuals whose mail has been withheld from delivery and their attorneys, Inspection Service investigative reports, witnesses.

Systems Exempted From Certain Provisions of the Act

Records or information in this system that have been compiled in reasonable anticipation of a civil action or proceeding are exempt from individual access under 5 U.S.C. 552a(d)(5). In addition, the Postal Service has claimed exemptions from certain provisions of the Act for several of its other systems of records as permitted by 5 U.S.C. 552a(j) and (k). See 39 CFR 266.9. To the extent that copies of exempt records from those other systems are incorporated into this system, the exemptions applicable to the original primary system must continue to apply to the incorporated records.

USPS 060.040

System Name

Consumer Protection Records — Appeals From Termination of Post Office Box or Caller Service, 060.040

System Location

Law Department, Postal Service Headquarters; Post Offices.

Categories of Individuals Covered by the System

Individuals who appeal from the refusal to provide, or involuntary termination of, Post Office box or caller service and attorneys representing such individuals.

Note: Business firm customers are not covered by the Privacy Act.

Categories of Records in the System

Original correspondence regarding denial or termination of Post Office box or caller service; records that document involuntary termination; investigative reports; evidence of delivery or attempted delivery of notices; petitions; pleadings, notes, and legal memoranda; briefs; settlement agreements; decisions, appeals, and orders.

Authority for Maintenance of the System

39 U.S.C. 401, 404(a)(1); 39 CFR Part 958; Domestic Mail Manual, Parts 951, 952.

Purpose(s)

To enable the General Counsel to represent the Postal Service in administrative proceedings before the Judicial Officer Department in which customers petition for review of postmaster determinations to refuse or terminate Post Office box or caller service.

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

General routine use statements a, b, c, d, e, f, g, h, j, and m listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Information in litigation records is public to the extent that the documents have been filed in a court or public administrative proceeding, unless the court or other adjudicative body has ordered otherwise. Such public information, including information about the nature, status, and disposition of the proceeding, may be disclosed to any individual, unless it is determined that release of specific information in a particular case would be an unwarranted invasion of personal privacy.
2. When considered appropriate, records in this system may be referred to a bar association or similar federal, state, or local licensing or regulatory authority for possible disciplinary action.

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

Storage

Appeal case records are stored in paper folders, filed chronologically by date of closing. Abbreviated information, such as case name and other identifying data, is stored on index cards, filed alphabetically by case name, and on magnetic tape or disk in automated office equipment.

Retrievability

By Postal Service docket number and by name of individual whose service has been refused or terminated.

Safeguards

Records are kept in secure filing cabinets under the scrutiny of Postal Service attorneys. Access to computer data is restricted to personnel having an official need for access.

Retention and Disposal

Appeal case records are destroyed 1 year after final disposition of case. Index cards are destroyed 6 months after final disposition of case.

System Manager(s) and Address:

SENIOR VICE PRESIDENT AND GENERAL COUNSEL
LAW DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-1100

Notification Procedure

Individuals wanting to know whether information about them is maintained in this system of records must address inquiries to the system manager. Inquiries must contain full name and address of the individual whose service has been terminated and the approximate time period of its termination.

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Note: Review of requests seeking amendment of records that have been the subject of a judicial or quasi-judicial administrative action will be limited. The amendment provisions of the Act are not intended to permit the alteration of evidence presented in the course of an adjudication, nor are they intended to provide a means of collaterally attacking the finality of a judicial or administrative decision. Review of requests for amendment of adjudicative records will be restricted to determining whether the records accurately reflect the action of the judicial or administrative body ruling on the case and will not include a review of the merits of the action.

Record Source Categories

Individuals whose Post Office box or caller service has been terminated and their attorneys, reports of postmasters, Inspection Service investigative reports.

Systems Exempted From Certain Provisions of the Act

Records or information in this system that have been compiled in reasonable anticipation of a civil action or proceeding are exempt from individual access under 5 U.S.C. 552a(d)(5). In addition, the Postal Service has claimed exemptions from certain provisions of the Act for several of its other systems of records as permitted by 5 U.S.C. 552a(j) and (k). See 39 CFR 266.9. To the extent that copies of exempt records from those other systems are incorporated into this system, the exemptions applicable to the original primary system must continue to apply to the incorporated records.

USPS 070.010

System Name Inquiries and Complaints — Correspondence Files of the Postmaster General, 070.010

System Location

Office of the Postmaster General, Postal Service Headquarters.

Categories of Individuals Covered by the System

Postal Service employees and Postal Service customers who have corresponded with the Office of the Postmaster General.

Categories of Records in the System

General correspondence including correspondent's name, address, nature of inquiry, and response.

Authority for Maintenance of the System

39 U.S.C. 401.

Purpose(s)

To maintain reference to letters from persons communicating with the postmaster general.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, l and m listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system. Records are periodically transferred to custody of National Archives and Records Administration (NARA) for keeping as historical documentation.

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

Storage

Original typed, printed, or handwritten form.

Retrievability

Individual's name, chronologically and subject.

Safeguards

Records are kept in locked filing cabinets under scrutiny of the postmaster general's secretary and in secured storage room with limited access.

Retention and Disposal

- a. Permanent Subject Files — Transfer to a Federal Records Center when 4 years old. Offer to NARA in 5-year blocks when the latest records are 20 years old.
- b. Temporary Subject Files — Destroy when 4 years old.

System Manager(s) and Address:

OFFICE OF THE POSTMASTER GENERAL
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-0010

Notification Procedure

Inquiries must be addressed to the system manager and must contain full name, date of letter, and subject.

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Individuals communicating with the postmaster general.

USPS 070.020

System Name Inquiries and Complaints — Government Officials' Inquiry System, 070.020

System Location

Government Relations, Postal Service Headquarters.

Categories of Individuals Covered by the System

Employees, former employees, applicants for employment, contractors, lessors, and customers who have written to nonpostal government officials; congressmen, and other government officials corresponding with the Postal Service in behalf of postal customers/employees; and various individuals to whom Postal Service announcements/greetings are directed.

Categories of Records in the System

Information stemming from correspondence described above and lists of individuals for announcements/greetings.

Authority for Maintenance of the System

39 U.S.C. 401.

Purpose(s)

To provide Postal Service officials with the means of responding to inquiries from and/or for other government officials and to serve as a workload reporting system for which a description appears as USPS 170.010.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system.

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

Storage

Optical disk, magnetic tape/disk, and computer printouts.

Retrievability

Subject category, as derived from correspondence, and the name of the inquirer and/or official inquiring in his or her behalf.

Safeguards

All records not in storage at a Federal Records Center are maintained on computer-readable media in a secured data processing facility.

Retention and Disposal

Optical disk/magnetic tape/disk records are kept for 3 years and then erased.

System Manager(s) and Address:

SENIOR VICE PRESIDENT
GOVERNMENT RELATIONS
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-3500

Notification Procedure

Individuals wishing to know whether information about them is maintained in this system of records must address inquiries to the system manager. Inquiries must contain full name, the name of the government official to whom he or she wrote, the nature of the inquiry, and the approximate date.

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Nonpostal government officials.

USPS 070.040

**System Name
Inquiries and Complaints — Customer
and Employee Complaint Records,
070.040**

System Location

Consumer Advocate and Human Resources, Postal Service Headquarters; districts; Post Offices; the Information Systems Service Center in St. Louis, MO; and contractor sites.

Categories of Individuals Covered by the System

Postal Service customers and employees who have contacted the Postal Service with a suggestion or a problem, information request, or compliment.

Categories of Records in the System

Complaining individual's name and address; nature of the inquiry or complaint; assessment of concerns, findings, and recommendations; and resolution of same. Includes general correspondence and Consumer Service Cards about individuals' complaints/inquiries.

Authority for Maintenance of the System

39 U.S.C. 403, 404.

Purpose(s)

To process Postal Service customer and employee concerns and inquiries regarding mail services and other issues relating to the Postal Service.

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

Routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system.

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

Storage

Typed, printed, handwritten, or computer-printed form, microfilm, magnetic tape, and WORM optical disk.

Retrievability

For correspondence and computerized complaint cards, by chronological sequence within subject category as derived from correspondence and the name of inquirer or complainant.

Human Resources' records may also be retrieved by work location. For hard-copy complaint cards, chronological by retrieval code and preprinted complaint card serial number, and at local offices, alphabetically by customer last name.

Safeguards

These are restricted files and are to be maintained in locked file cabinets in secured facilities, with access limited to personnel having an official need. Automated records are protected through computer password security.

Retention and Disposal

Destroy 3 years after resolution of the problem.

System Manager(s) and Address:

VICE PRESIDENT
HUMAN RESOURCES
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-4200

VICE PRESIDENT AND CONSUMER ADVOCATE
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-2200

Notification Procedure

Customers wanting to know whether information about them is maintained in this system of records must address inquiries to the same facility to which they submitted their complaint. Inquiries about complaint cards must contain the date and card serial number.

Record Access Procedures

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

Contesting Record Procedure

See Notification and Record Access Procedures above.

Record Source Categories

Postal Service customers and employees.

Systems Exempted From Certain Provisions of the Act

Records or information in this system that have been compiled in reasonable anticipation of a civil action or proceeding are exempt from individual access under 5 U.S.C. 552a(d)(5). In addition, the Postal Service has claimed exemptions from certain provisions of the Act for several of its other systems of records as permitted by 5 U.S.C. 552a(j) and (k). See 39 CFR 266.9. To the extent that copies of exempt records from those other systems are incorporated into this system, the exemptions applicable to the original primary system must continue to apply to the incorporated records.

USPS 080.010

System Name

Inspection Requirements — Investigative File System, 080.010

System Locations

Office of the (1) Chief Postal Inspector, Headquarters; (2) Field Operations Support Groups; and (3) Inspectors-in-Charge (30 divisions).

Categories of Individuals Covered by the System

- Subjects of investigations, unsolicited information, surveillance; complainants, informants, witnesses; and other individuals related to investigations.
- Applicants and current and former Postal Service personnel and contractors and individuals providing information related to employment suitability checks on those individuals.
- Applicants for and appointees to sensitive positions in the Postal Service and individuals providing information related to security clearance checks on those individuals.

Categories of Records in the System

Information within this system relates to Inspection Service investigations carried out in accordance with applicable policies, regulations, procedures, and statutes. The investigations may relate to criminal, civil, or administrative matters, including personnel suitability and security clearance. Generally, investigative case files are physically located in the responsible Inspection Service Division, Field Operations Support Group, or Headquarters. These files may contain investigative reports, background data including arrest records, statements of informants and witnesses, laboratory reports of evidence analysis, search warrants, summons and subpoenas, and other information related to the investigation. Personal data in the system may include fingerprints, handwriting samples, reports of confidential informants, physical identifying data, voiceprints, polygraph tests, photographs, and individual personnel and payroll information. Inspection Service database systems contain additional or summary duplicative case files and other information in support of investigations. In addition, Inspection Service divisions maintain reference files and indexes, as needed, for quick access in day-to-day operations.

The specific authority for the Postal Inspection Service to investigate postal offenses and civil matters relating to the Postal Service is conferred at 39 U.S.C. 404(a)(7), 18 U.S.C. 3061, and 5 U.S.C. App 3. In the exercise of that authority, the Inspection Service conducts investigations pursuant to the following federal statutes and administrative rules, which are not intended to be all-inclusive. Although other federal agencies may have primary investigative jurisdiction over some of the statutes listed, the Inspection Service applies those statutes for cases involving postal personnel or property or as authorized by the Attorney General of the United States (18 U.S.C. 3061(b)(2)). These are the primary statutes that impact the Postal Inspection Service, but an investigation may involve statutes not listed.

- False Representations; Lotteries.* Where any individual is engaging in conducting a scheme or device for obtaining money or property through the mail by means of false representations or is conducting a lottery, the Postal Service may issue an order to return such mail to the sender (Title 39, United States Code, Section 3005).
- Detention of Mail for Temporary Periods.* Relates to violations of 39 U.S.C. 3005 and 3006. The U.S. District Court may issue a temporary restraining order and preliminary injunction directing the detention of defendant's incoming mail (Title 39, United States Code, Section 3007).
- Mailing of Sexually Oriented Advertisements (SOAs).* Permits customers to file a statement with the Postal Service that they do not want to receive SOAs; a mailer who sends that person unsolicited SOAs can be subject to civil and criminal sanctions penalties under

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- 39 U.S.C. 3011 and 18 U.S.C. 1735-37 (Title 39, United States Code, Section 3010).
4. *Circulars and Rewards*. Covers authorization and procedures (Title 39, Code of Federal Regulations, Section 233.2).
5. *Mail Covers*. Covers policy, authorization, and review procedures for mail covers; an investigative technique by which a record is made of any data appearing on outside cover of mail matter (Title 39, Code of Federal Regulations, Section 233.3).
6. *Withdrawal of Mail Privileges*. Applies to false representation and lottery orders and fictitious name or address orders (Title 39, Code of Federal Regulations, Section 233.4).
7. *Requesting Financial Records From a Financial Institution*. Covers purpose, authorization, and procedures (Title 39, Code of Federal Regulations, Section 233.5).
8. *Test Purchases Under 39 U.S.C. 3005(e)*. Covers authorization and procedures (Title 39, Code of Federal Regulations, Section 233.6).
9. *Conduct on Postal Property*. Covers posted regulations governing conduct on postal property (Title 39, Code of Federal Regulations, Section 232.1).
10. *Responsibility for the Protection of Post Offices*. Designates Chief Postal Inspector as Security Officer (Title 39, Code of Federal Regulations, Section 231.1).
11. *Internal Financial Audits*. The Postal Service must maintain an adequate internal audit of the financial transactions of the Postal Service (Title 39, United States Code, Section 2008(b)).
12. *Principals*. Applies to aiding and abetting (Title 18, United States Code, Section 2).
13. *Special Maritime and Territorial Jurisdiction of the United States Defined*. Applies to certain Postal Service facilities that fall under this jurisdiction (Title 18, United States Code, Section 7).
14. *Obligation or Other Security of the United States Defined*. Includes stamps and money orders (Title 18, United States Code, Section 8).
15. *Laws of States Adopted for Areas Within Federal Jurisdiction*. Makes state statutes applicable on federal properties when no federal law exists (Title 18, United States Code, Section 13).
16. *Destruction of Aircraft or Aircraft Facilities*. Applies to mailed explosive devices that result in such destruction (Title 18, United States Code, Section 32).
17. *Destruction of Motor Vehicles or Motor Vehicle Facilities*. Applies to mailed explosive devices that result in such destruction (Title 18, United States Code, Section 33).
18. *Imparting or Conveying False Information*. Prohibits the giving of false information about crimes (Title 18, United States Code, Section 35).
19. *Importation or Shipment of Injurious Mammals, Birds, Fish (including Mollusks and Crustacea), Amphibia, and Reptiles; Permits, Specimens for Museums; Regulations*. Applies to Postal Service when such items are mailed (Title 18, United States Code, Section 42).
20. *Transportation of Water Hyacinths*. Applies to Postal Service when such items are mailed (Title 18, United States Code, Section 46).
21. *Arson Within Special Maritime and Territorial Jurisdiction*. Applies to arson of Postal Service facilities within this jurisdiction (Title 18, United States Code, Section 81).
22. *Assaulting, Resisting or Impeding Certain Officers or Employees*. Applies to Postal Service employees (Title 18, United States Code, Section 111).
23. *Assaults Within Maritime and Territorial Jurisdiction*. Applies to certain Postal Service facilities (Title 18, United States Code, Section 113).
24. *Maiming Within Maritime and Territorial Jurisdiction*. Applies to certain Postal Service facilities (Title 18, United States Code, Section 114).
25. *Influencing, Impeding, or Retaliating Against a Federal Official by Threatening or Injuring a Family Member*. Applies to Postal Service employees (Title 18, United States Code, Section 115).
26. *Bribery of Public Officials and Witnesses*. Applies to Postal Service employees (Title 18, United States Code, Section 201).
27. *Compensation to Members of Congress, Officers, and Others in Matters Affecting the Government*. Applies to Postal Service employees (Title 18, United States Code, Section 203).
28. *Activities of Officers and Employees in Claims Against and Other Matters Affecting the Government*. Prohibits certain activities by Postal Service employees in regard to making claims against the Postal Service (Title 18, United States Code, Section 205).
29. *Disqualification of Former Officers and Employees; Disqualification of Partners of Current Officers and Employees*. Covers postemployment and partnership restrictions applicable to the Postal Service (Title 18, United States Code, Section 207).
30. *Acts Affecting a Personal Financial Interest*. Prohibits Postal Service employees from making official decisions that affect personal finances (Title 18, United States Code, Section 208).
31. *Salary of Government Officials and Employees Payable Only by United States*. Applies to Postal Service employees who are prohibited from receiving outside salary supplements (Title 18, United States Code, Section 209).
32. *Offer Procure Appointive Public Office*. Prohibits influence in Postal Service appointments (Title 18, United States Code, Section 210).
33. *Acceptance or Solicitation to Obtain Appointive Public Office*. Prohibits improper influence in Postal Service appointments (Title 18, United States Code, Section 211).
34. *Void Transactions in Violation of Chapter; Recovery by the United States*. Allows recovery by Postal Service for violations of 18 U.S.C. 201-211 (Title 18, United States Code, Section 218).
35. *Civil Disorders*. Applies to unlawful conduct by Postal Service employees who engage in violence (Title 18, United States Code, Section 231).
36. *Taking or Using Papers Relating to Claims*. Applies to the Postal Service (Title 18, United States Code, Section 285).
37. *Conspiracy to Defraud the Government with Respect to Claims*. Applies to the Postal Service (Title 18, United States Code, Section 286).
38. *False, Fictitious or Fraudulent Claims*. Applies to the Postal Service (Title 18, United States Code, Section 287).

39. *False Claims for Postal Losses.* Prohibits false claims by Postal Service patrons (Title 18, United States Code, Section 288).
40. *Conspiracy to Commit Offense or Defraud United States.* Enforced by Postal Service in regard to any crime under investigation (Title 18, United States Code, Section 371).
41. *Conspiracy to Impede or Injure Officer.* Applies to conspiracies against Postal Service employees (Title 18, United States Code, Section 372).
42. *Solicitation to Commit a Crime of Violence.* Applies to any violent crime against the Postal Service (Title 18, United States Code, Section 373).
43. *Officer or Employee Contracting with Member of Congress.* Prohibits Postal Service employees from contracting with Congress (Title 18, United States Code, Section 432).
44. *Mail Contracts.* Prohibits Postal Service employees from being interested in Postal Service contracts (Title 18, United States Code, Section 440).
45. *Postal Supply Contracts.* Prohibits Postal Service employees from being interested in or fixing bids for postal supply contracts (Title 18, United States Code, Section 441).
46. *Contractors' Bonds, Bids, and Public Records.* Concerns false mailing of above for purpose of defrauding the Postal Service (Title 18, United States Code, Section 494).
47. *Contracts, Deeds, and Powers of Attorney.* Concerns false mailing of above to defraud the Postal Service (Title 18, United States Code, Section 495).
48. *Money Orders.* Covers a variety of prohibited conduct related to money orders (Title 18, United States Code, Section 500).
49. *Postage Stamps, Postage Meter Stamps, and Postal Cards.* Covers a variety of prohibited conduct related to these matters (Title 18, United States Code, Section 501).
50. *Postage and Revenue Stamps of Foreign Governments.* Covers forgery of foreign postage (Title 18, United States Code, Section 502).
51. *Postmarking Stamps.* Covers forgery or counterfeit postmarks and postmarking equipment (Title 18, United States Code, Section 503).
52. *Printing and Filming of United States and Foreign Obligations and Securities.* Covers reproduction of postage stamps (Title 18, United States Code, Section 504).
53. *Seals of Departments or Agencies.* Covers certain prohibited conduct in regard to Postal Service seals (Title 18, United States Code, Section 506).
54. *Transportation Requests of Government.* Covers certain prohibited conduct in regard to Postal Service Government Transportation Requests (Title 18, United States Code, Section 508).
55. *Forging Endorsements on Treasury Checks or Bonds or Securities of the United States.* Involves stolen Treasury checks (Title 18, United States Code, Section 510).
56. *Smuggling Goods into the United States.* Self-explanatory (Title 18, United States Code, Section 545).
57. *Smuggling Goods Into Foreign Countries.* Self-explanatory (Title 18, United States Code, Section 546).
58. *Making Political Contributions.* Applies to Postal Service employees (Title 18, United States Code, Section 603).
59. *Public Money, Property, or Records.* Covers theft or embezzlement by Postal Service employees and outsiders of Postal Service property (Title 18, United States Code, Section 641).
60. *Tools and Materials for Counterfeiting Purposes.* Self-explanatory (Title 18, United States Code, Section 642).
61. *Accounting Generally for Public Money.* Covers the accountability of Postal Service employees for public funds (Title 18, United States Code, Section 643).
62. *Custodians, Generally, Misusing Public Funds.* Covers misuse of Postal Service funds by Postal Service officers (Title 18, United States Code, Section 648).
63. *Custodians Failing to Deposit Moneys; Persons Affected.* Covers misuses of public funds (Postal Service) by any individual charged with safekeeping (Title 18, United States Code, Section 649).
64. *Disbursing Officer Misusing Public Funds.* Covers misuse of public funds by Postal Service disbursing officers (Title 18, United States Code, Section 653).
65. *Officer or Employee of United States Converting Property of Another.* Covers Postal Service employees who do this (Title 18, United States Code, Section 654).
66. *Within Special Maritime and Territorial Jurisdiction.* Covers theft within certain Postal Service facilities (Title 18, United States Code, Section 661).
67. *Receiving Stolen Property Within Special Maritime and Territorial Jurisdiction.* Covers certain Postal Service facilities (Title 18, United States Code, Section 662).
68. *Solicitation or Use of Gifts.* Covers solicitation of personal gifts under official guise by Postal Service employees (Title 18, United States Code, Section 663).
69. *Official Badges, Identification Cards, Other Insignia.* Covers likenesses of Postal Service official insignia or ID. (Title 18, United States Code, Section 701).
70. *Explosive and Destructive Devices.* Applies to statutes used in conjunction with mailed bombs and infernal devices (Title 18, United States Code, Section 841, 842 and 1716).
71. *Threats Against President and Successors to the Presidency.* Applies to when such threat is mailed (Title 18, United States Code, Section 871).
72. *Extortion by Officers or Employees of the United States.* Includes extortion by Postal Service employees (Title 18, United States Code, Section 872).
73. *Blackmail.* Applies to when threat and demand are mailed (Title 18, United States Code, Section 873).
74. *Kickbacks From Public Works Employee.* Applies to Postal Service employees (Title 18, United States Code, Section 874).
75. *Mailing Threatening Communications.* Covers extortion by mail (Title 18, United States Code, Section 876).
76. *Mailing Threatening Communications from Foreign Country.* Covers extortion by mail deposited in a foreign

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- country addressed to United States (Title 18, United States Code, Section 877).
77. *Officer or Employee of the United States.* Covers impersonation of postal employee (Title 18, United States Code, Section 912).
78. *Unlawful Acts.* Covers various firearm laws in which the Postal Service investigates mail violations of these regulations (Title 18, United States Code, Section 922).
79. *Civil Forfeiture.* Makes property involved in transaction in violation of law subject to civil forfeiture (Title 18, United States Code, Section 981).
80. *Criminal Forfeiture.* Makes property involved in transaction in violation of law subject to criminal forfeiture (Title 18, United States Code, Section 982).
81. *Statements or Entries Generally.* Covers false statements or entries by Postal Service employees (Title 18, United States Code, Section 1001).
82. *Possession of False Papers to Defraud United States.* Covers Postal Service as agency of U.S. (Title 18, United States Code, Section 1002).
83. *Bank Entries, Reports, and Transactions.* Covers unauthorized or fraudulent bank entries, reports, or transactions by employees of Federal Reserve bank, or member, national or insured bank (Title 18, United States Code, Section 1005).
84. *Official Certificates or Writings.* Covers false official writings by Postal Service employees (Title 18, United States Code, Section 1018).
85. *Fraud and Related Activity in Connection with Identification Documents.* Self-explanatory. The Postal Service has primary jurisdiction over mailed documents (Title 18, United States Code, Section 1028).
86. *Fraud and Related Activity in Connection with Access Devices.* Self-explanatory. The Postal Service investigates fraud relating to mailed devices (Title 18, United States Code, Section 1029).
87. *Fraud and Related Activity in Connection with Computers.* Self-explanatory. The Postal Service investigates fraud relating to the Postal Service (Title 18, United States Code, Section 1030).
88. *Murder.* Self-explanatory. The Postal Service investigates murder in postal facilities under special territorial jurisdiction (Title 18, United States Code, Section 1111).
89. *Manslaughter.* Self-explanatory. The Postal Service investigates manslaughter violations in postal facilities under special territorial jurisdiction (Title 18, United States Code, Section 1112).
90. *Attempt to Commit Murder or Manslaughter.* Self-explanatory. The Postal Service investigates violations in postal facilities under special territorial jurisdiction (Title 18, United States Code, Section 1113).
91. *Protection of Officers and Employees of the United States.* Covers Postal Service employees (Title 18, United States Code, Section 1114).
92. *Conspiracy to Murder.* Applies when such actions involve Postal Service employees and certain facilities (Title 18, United States Code, Section 1117).
93. *Kidnapping.* Applies when such actions involve Postal Service officers and employees (Title 18, United States Code, Section 1201).
94. *Ransom Money.* Covers ransom under Section 1201 (Title 18, United States Code, Section 1202).
95. *Hostage Taking.* Applies when such actions involve Postal Service employees (Title 18, United States Code, Section 1203).
96. *Lotteries.* Covers any lottery activity by mail investigated by the Postal Service (Title 18, United States Code, Sections 1301, 1302, 1303, 1305, 1306, 1307).
97. *Frauds and Swindles.* Covers mail fraud (Title 18, United States Code, Section 1341).
98. *Fictitious Name or Address.* Concerns false name or address filed with the Postal Service (Title 18, United States Code, Section 1342).
99. *Fraud by Wire, Radio, or Television.* Self-explanatory. Can be used with a mail fraud prosecution (Title 18, United States Code, Section 1343).
100. *Bank Fraud.* Self-explanatory. Can be used with mail fraud prosecution (Title 18, United States Code, Section 1344).
101. *Injunctions Against Fraud.* Self-explanatory. Can be used in mail fraud cases (Title 18, United States Code, Section 1345).
102. *Government Property or Contracts.* Covers malicious mischief against the Postal Service (Title 18, United States Code, Section 1361).
103. *Buildings or Property Within Special Maritime and Territorial Jurisdiction.* Covers destruction or injury of Postal Service buildings in this category (Title 18, United States Code, Section 1363).
104. *Mailing Obscene or Crime-Inciting Matter.* Covers mailed pornography or other vile material (Title 18, United States Code, Section 1461).
105. *Importation or Transportation of Obscene Matters.* Covers mailed items originating outside the United States (Title 18, United States Code, Section 1462).
106. *Mailing Indecent Matter on Wrappers or Envelopes.* Covers visible mailed obscene material (Title 18, United States Code, Section 1463).
107. *Transportation of Obscene Matters for Sale or Distribution.* Covers mailed items (Title 18, United States Code, Section 1465).
108. *Criminal Forfeiture.* Covers obscene material (Title 18, United States Code, Section 1467).
109. *Assault on Process Service.* Covers Postal Service Inspectors (Title 18, United States Code, Section 1501).
110. *Influencing or Injuring Officer or Juror Generally.* Covers mailed communications (Title 18, United States Code, Section 1503).
111. *Obstruction of Proceedings Before Departments, Agencies, and Committees.* Covers mailed threats and communications (Title 18, United States Code, Section 1505).
112. *Obstruction of Criminal Investigations.* Covers Postal Service investigations (Title 18, United States Code, Section 1510).
113. *Obstruction of State or Local Law Enforcement.* Self-explanatory (Title 18, United States Code, Section 1511).
114. *Tampering with a Witness, Victim, or an Informant.* Self-explanatory (Title 18, United States Code, Section 1512).

115. *Retaliating Against a Witness, Victim, or an Informant.* Self-explanatory (Title 18, United States Code, Section 1513).
116. *Laws Governing Postal Savings.* Protects public moneys sent by mail (Title 18, United States Code, Section 1691).
117. *Foreign Mail as United States Mail.* Treats foreign mail as U.S. Mail for the purpose of law while transported in the U.S. (Title 18, United States Code, Section 1692).
118. *Carriage of Mail Generally.* Concerns carriage of letters contrary to law (Title 18, United States Code, Section 1693).
119. *Carriage of Matter Out of Mail Over Post Routes.* Covers letters on which postage has not been paid (Title 18, United States Code, Section 1694).
120. *Carriage of Matter Out of Mail on Vessels.* Covers letters on which postage has not been paid (Title 18, United States Code, Section 1695).
121. *Private Express for Letters and Packets.* Covers private carriage of letters (Title 18, United States Code, Section 1696).
122. *Transportation of Persons Acting as Private Express.* Covers a carrier assisting a private express carrier (Title 18, United States Code, Section 1697).
123. *Prompt Delivery of Mail from Vessel.* Concerns timely delivery of letters to post office by vessels passing between ports or places in the United States (Title 18, United States Code, Section 1698).
124. *Certification of Delivery from Vessel.* Concerns certification by officer of vessel of delivery of letters to Post Office (Title 18, United States Code, Section 1699).
125. *Desertion of Mails.* Concerns Postal Service employee deserting mail in its custody (Title 18, United States Code, Section 1700).
126. *Obstruction of Mails Generally.* Concerns obstructing or retarding passage of mail (Title 18, United States Code, Section 1701).
127. *Obstruction of Correspondence.* Prohibits the taking of any mail for the purpose of obstruction or to pry into the secrets of another (Title 18, United States Code, Section 1702).
128. *Delay or Destruction of Mail or Newspapers.* Prohibits delaying, destruction, or opening of mail before delivery (Title 18, United States Code, Section 1703).
129. *Keys or Locks Stolen or Reproduced.* Prohibits theft, unauthorized possession, or reproduction of certain Postal Service keys and locks (Title 18, United States Code, Section 1704).
130. *Destruction of Letter Boxes or Mail.* Prohibits destruction or vandalizing of mail receptacles (Title 18, United States Code, Section 1705).
131. *Injury to Mail Bags.* Prohibits breaking into mail bags with intent to steal or render insecure (Title 18, United States Code, Section 1706).
132. *Theft of Property Used by the Postal Service.* Prohibits theft or appropriation of Postal Service property (Title 18, United States Code, Section 1707).
133. *Theft or Receipt of Stolen Mail Matter Generally.* Prohibits theft or unauthorized possession of mail before delivery (Title 18, United States Code, Section 1708).
134. *Theft of Mail Matter by Officer or Employee.* Prohibits theft or unauthorized possession of mail before delivery by Postal Service employees (Title 18, United States Code, Section 1709).
135. *Theft of Newspapers.* Prohibits theft of newspapers from mail by Postal Service employees (Title 18, United States Code, Section 1710).
136. *Misappropriation of Postal Funds.* Prohibits unauthorized use or theft of funds by Postal Service employees (Title 18, United States Code, Section 1711).
137. *Falsification of Postal Returns to Increase Compensation.* Prohibits Postal Service employees from making false entries to increase their compensation (Title 18, United States Code, Section 1712).
138. *Issuance of Money Orders Without Payment.* Prohibits Postal Service employees from issuing money orders without having previously received payment therefore (Title 18, United States Code, Section 1713).
139. *Foreign Divorce Information as Nonmailable.* Prohibits the mailing of foreign divorce information (Title 18, United States Code, Section 1714).
140. *Firearms as Nonmailable.* Prohibits mailing of concealable firearms except between certain individuals (Title 18, United States Code, Section 1715).
141. *Injurious Articles as Nonmailable.* Prohibits a wide variety of articles from being mailed (Title 18, United States Code, Section 1716).
142. *Nonmailable Motor Vehicle Master Keys.* Prohibits mailing of any article declared nonmailable under 39 U.S.C. 3002 (Title 18, United States Code, Section 1716A).
143. *Nonmailable Plants.* Self-explanatory (Title 18, United States Code, Section 1716B).
144. *Forged Agricultural Certifications.* Prohibits forging or counterfeiting agricultural certifications (Title 18, United States Code, Section 1716C).
145. *Letters and Writings as Nonmailable; Opening Letters.* Prohibits the mailing of certain types of letters (Title 18, United States Code, Section 1717).
146. *Libelous Matter on Wrappers or Envelopes.* Prohibits the mailing of certain types of material that are visible on the outside (Title 18, United States Code, Section 1718).
147. *Franking Privilege.* Prohibits the unauthorized use of official envelopes (Title 18, United States Code, Section 1719).
148. *Canceled Stamps and Envelopes.* Prohibits reuse of used postage or selling of same to be used again (Title 18, United States Code, Section 1720).
149. *Sale or Pledge of Stamps.* Prohibits misuse of postage stamps (Title 18, United States Code, Section 1721).
150. *False Evidence to Secure Second-Class Rate.* Prohibits the giving of false information to secure second-class rate (Title 18, United States Code, Section 1722).
151. *Avoidance of Postage by Using Lower Class Matter.* Prohibits avoidance of postage by securing improper lower class rate (Title 18, United States Code, Section 1723).
152. *Postage on Mail Delivered by Foreign Vessels.* Concerns transportation of mail outside of U.S. at the compensation fixed under authority of law (Title 18, United States Code, Section 1724).

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153. *Postage Unpaid on Deposited Mail Matter.* Prohibits use of mail boxes for matter on which postage has not been paid (Title 18, United States Code, Section 1725).
154. *Postage Collected Unlawfully.* Prohibits collection of postage at a greater rate than authorized by law (Title 18, United States Code, Section 1726).
155. *Weight of Mail Increased Fraudulently.* Prohibits fraudulent weighting to increase compensation of carrier (Title 18, United States Code, Section 1728).
156. *Post Office Conducted Without Authority.* Prohibits conducting a business as a Post Office without proper authority (Title 18, United States Code, Section 1729).
157. *Uniforms of Carriers.* Prohibits unauthorized wearing of mail carrier uniforms (Title 18, United States Code, Section 1730).
158. *Vehicles Falsely Labeled as Carriers.* Prohibits unauthorized marking of vehicle as mail carrier (Title 18, United States Code, Section 1731).
159. *Approval of Bond or Sureties by Postmaster.* Concerns requirements for proper bond approval (Title 18, United States Code, Section 1732).
160. *Mailing Periodical Publications Without Prepayment of Postage.* Prohibits mailing publications without previous payment of postage (Title 18, United States Code, Section 1733).
161. *Editorials and Other Matter as Advertisements.* Prohibits improper use of second-class mail (Title 18, United States Code, Section 1734).
162. *Sexually Oriented Advertisements.* Prohibits mailing any material in violation of 39 U.S.C. 3010 or in violation of any regulations of the Board of Governors (Title 18, United States Code, Section 1735).
163. *Restrictive Use of Information.* Concerns use of information gathered under 39 U.S.C. 3010 (Title 18, United States Code, Section 1736).
164. *Manufacturer of Sexually Related Mail Matter.* Prohibits manufacture or reproduction of material in violation of 39 U.S.C. 3008 or 3010 (Title 18, United States Code, Section 1737).
165. *Mailing Private Identification Documents Without a Disclaimer.* Prohibits the mailing of identification documents that do not state “not a government document” as prescribed by law (Title 18, United States Code, Section 1739).
166. *Transportation or Importation.* Concerns transport in interstate commerce of goods manufactured by convicts or prisoners (Title 18, United States Code, Section 1761).
167. *Marking Packages.* Concerns marking of packages described in Section 1761 (Title 18, United States Code, Section 1762).
168. *Transportation of Dentures.* Concerns transport of artificial teeth made by individual other than licensed dentist (Title 18, United States Code, Section 1821).
169. *Disloyalty and Asserting the Right to Strike Against the Government.* Concerns violation of Section 7311 of Title 5 (Title 18, United States Code, Section 1918).
170. *False Statement to Obtain Unemployment Compensation.* Self-explanatory (Title 18, United States Code, Section 1919).
171. *False Statement to Obtain Federal Employee’s Compensation.* Self-explanatory (Title 18, United States Code, Section 1920).
172. *Receiving Federal Employees’ Compensation After Marriage.* Self-explanatory (Title 18, United States Code, Section 1921).
173. *False or Withheld Report Concerning Federal Employees’ Compensation.* Self-explanatory (Title 18, United States Code, Section 1922).
174. *Fraudulent Receipt of Payments of Missing Persons.* Self-explanatory (Title 18, United States Code, Section 1923).
175. *Interstate and Foreign Travel or Transportation in Aid of Racketeering Enterprises.* (Title 18, United States Code, Section 1952.)
176. *Interstate Transportation of Wagering Paraphernalia.* (Title 18, United States Code, Section 1953.)
177. *Laundering of Monetary Instruments.* (Title 18, United States Code, Section 1956.)
178. *Engaging in Monetary Transactions in Property Derived from Specified Unlawful Activity.* (Title 18, United States Code, Section 1957.)
179. *Racketeer Influenced and Corrupt Organizations.* Makes it illegal to invest in a legitimate enterprise with funds gained through an illegal venture (Title 18, United States Code, Sections 1961–1963).
180. *False Entries and Report of Moneys or Securities.* Prohibits federal employee charged with record/account keeping from making false entry (Title 18, United States Code, Section 2073).
181. *Personal Property of United States.* Concerns robbery of personal property belonging to the United States (Title 18, United States Code, Section 2112).
182. *Mail, Money or Other Property of United States.* Concerns assault of person having lawful charge of mail with intent to rob (Title 18, United States Code, Section 2114).
183. *Post Office.* Concerns forcible entry into Post Office with intent to commit larceny or other depredation (Title 18, United States Code, Section 2115).
184. *Railway or Steamboat Post Office.* Prohibits entry by violence (Title 18, United States Code, Section 2116).
185. *Robberies and Burglaries Involving Controlled Substances.* Self-explanatory (Title 18, United States Code, Section 2118).
186. *Assault or Resistance.* Concerning assault on or resistance to individuals authorized to serve search warrants (Title 18, United States Code, Section 2231).
187. *Additional Statutes Dealing with the Destruction or Rescue of Seized Property, Searches That Exceed the Authority of the Warrant, Malicious Procuring of Search Warrants, and Searches Without Warrant.* Self-explanatory (Title 18, United States Code, Section 2232-2236).
188. *Sexual Exploitation of Children.* Self-explanatory (Title 18, United States Code, Section 2251).
189. *Selling or Buying of Children.* Self-explanatory (Title 18, United States Code, Section 2251A).
190. *Certain Activities Relating to Material Involving the Sexual Exploitation of Minors.* Concerns mailing any visual depiction of a minor engaging in sexually explicit conduct (Title 18, United States Code, Section 2252).
191. *Criminal Forfeiture.* Provides for forfeiture of proceeds and property from persons convicted of violations of

- Section 2251 or 2252 (Title 18, United States Code, Section 2253).
192. *Civil Forfeiture*. Provides for the forfeiture of property used in producing, reproducing, transporting, shipping or receiving any visual depiction in violation of chapter 110 (Title 18, United States Code, Section 2254).
193. *Recordkeeping Requirements*. (Title 18, United States Code, Section 2257.)
194. *Transportation of Stolen Goods, Securities, Moneys, Fraudulent State Tax Stamps or Articles Used in Counterfeiting*. (Title 18, United States Code, Section 2314.)
195. *Sales or Receipt of Stolen Goods, Securities, Moneys, or Fraudulent State Tax Stamps*. (Title 18, United States Code, Section 2315.)
196. *Trafficking in Counterfeit Labels for Photorecords, and Copies of Motion Pictures or Other Audiovisual Works*. Applies to subject trafficking while using the mails (Title 18, United States Code, Section 2318).
197. *Criminal Infringement of a Copyright*. Self-explanatory (Title 18, United States Code, Section 2319).
198. *Trafficking in Counterfeit Goods or Services*. Applies to subject trafficking while using the mails (Title 18, United States Code, Section 2320).
199. *Trafficking in Certain Motor Vehicles or Motor Vehicle Parts*. Self-explanatory (Title 18, United States Code, Section 2320).
200. *Wire Interception and Interception of Oral Communications*. Applies to electronic surveillance statutes (Title 18, United States Code, Sections 2510-2520).
201. *Powers of Postal Personnel*. Covers powers of postal personnel to serve warrants and subpoenas and make arrests (Title 18, United States Code, Section 3061).
202. *Statutes Concerning the Procedures for Searches and Seizures*. Self-explanatory (Title 18, United States Code, Sections 3101-3116).
203. *Protection of Witnesses*. Self-explanatory (Title 18, United States Code, Sections 3521-3528).
204. *False Claims*. Concerns civil penalty when false claims are made (Title 31, United States Code, Section 3729).
205. *Civil Actions for False Claims*. The Attorney General may bring a civil action under this section (Title 31, United States Code, Section 3730).
206. *Reports on Domestic Coins and Covering Transactions*. (Title 31, United States Code, Section 5313.)
207. *Structuring Transactions to Evade Reporting Requirement Prohibited*. (Title 31, United States Code, Section 5324.)
208. *State Terminal Inspection; Transmission of Mailed Packages for State Inspection; Nonmailable Matter; Punishment for Violations; Rules and Regulations by Postmaster General*. Concerns mailed agricultural products (Title 7, United States Code, Section 166).
209. *Fraudulent Use of Credit Cards*. Self-explanatory (Title 15, United States Code, Section 1644).
210. *Various Statutes Dealing with the Protection of Federal Property, Including Postal Service Property, and with the Posting of Regulations and the Creation of Special Policemen*. Self-explanatory (Title 40, United States Code, Sections 318, 318a, 318b, 318c, 318d).
211. *Transportation of Mail*. Concerns transportation of mail by aircraft, including free travel for postal employees charged with the mail (Title 49, United States Code, Section 1375).
212. *Anabolic Steroids*. (Title 21, United States Code, Section 333(e).)
213. *Prohibited Acts A*. Makes it unlawful to manufacture, distribute, or dispense, with intent to distribute or dispense, a controlled substance (Title 21, United States Code, Section 841).
214. *Prohibited Acts C*. Applies to unlawful acts involving controlled substances (Title 21, United States Code, Section 843(b)).
215. *Penalty for Simple Possession* (Title 21, United States Code, Section 844).
216. *Attempt and Conspiracy* (Title 21, United States Code, Section 846).
217. *Drug Paraphernalia*. Makes use of Postal Service for sale of drug unlawful. Self-explanatory (Title 21, United States Code, Section 863).
218. *Forfeitures*. (Title 21, United States Code, Section 881.)
219. *Importation of Controlled Substances*. Self-explanatory (Title 21, United States Code, Section 952).
220. *Exportation of Controlled Substances*. Self-explanatory (Title 21, United States Code, Section 953).

Authority for Maintenance of the System

39 U.S.C. 404, 18 U.S.C. 3061, and 5 U.S.C., App. 3.

Purpose(s)

To provide information related to investigation of criminal, civil, or administrative matters, including employee and contractor background investigations.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. When conducting any official investigation or during a trial or hearing or the preparation of a trial or hearing, a record may be disseminated to an agency, organization, or individual when reasonably necessary to elicit information relating to the investigation, trial, or hearing or to obtain the cooperation of a witness or informant.
2. A record relating to a case or matter may be disseminated to a federal, state, or local administrative or regulatory proceeding or hearing in accordance with the procedures governing such proceeding or hearing.
3. A record relating to a case or matter may be disseminated in an appropriate federal, state, local, or foreign court or grand jury proceeding in accordance with established constitutional, substantive, or procedural law or practice.
4. A record relating to a case or matter may be disseminated to an actual or potential party or his or

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her attorney for the purpose of negotiation or discussion on such matters as settlement of the case or matter, plea bargaining, or informal discovery proceedings.

5. A record relating to a case or matter that has been referred by an agency for investigation, prosecution, or enforcement or that involves a case or matter within the jurisdiction of an agency may be disseminated to such agency to notify the agency of the status of the case or matter or of any decision or determination that has been made, or to make such other inquiries and reports as are necessary during the processing of the case or matter.
6. A record relating to a person held in custody pending or during arraignment, trial, sentence, or extradition proceedings or after conviction may be disseminated to a federal, state, local, or foreign prison, probation, parole, or pardon authority or to any other agency or individual involved with the maintenance, transportation, or release of such a person.
7. A record relating to a case or matter may be disseminated to a foreign country under an international treaty or convention entered into and ratified by the United States or to an executive agreement.
8. A record may be disseminated to a federal, state, local, foreign, or international law enforcement agency to assist in the general crime prevention and detection efforts of the recipient agency or to provide investigative leads to such agency.
9. A record from this system may be disclosed to the public, news media, trade associations, or organized groups to provide information of interest to the public about the activities and the accomplishments of the Postal Service or its employees.
10. A record may be disseminated to a foreign country, through the United States Department of State or directly to the representative of such country, to the extent necessary to assist such country in apprehending or returning a fugitive to a jurisdiction that seeks that individual's return.
11. To provide members of the American Insurance Association Index System with certain information relating to accidents and injuries and/or other types of investigations.
12. A record from this system may be disclosed on an electronic bulletin board to organizations or individuals in the public or private sectors that share in the bulletin board, provided that the disclosure is approved by the Chief Postal Inspector, or delegate, because it is deemed necessary: (a) To elicit information or cooperation from these organizations or individuals for use by the Postal Inspection Service in the performance of an authorized activity; or (b) to alert those organizations or individuals of possible criminal activity that could affect them for which the Postal Inspection Service has authority to investigate and about which it has obtained credible information.

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

Storage

Case records are stored in paper folders. Abbreviated, summary, and identifying information pertaining to cases and

criminal intelligence information are stored on computer storage media.

Retrievability

Name and fingerprint image of the individual.

Safeguards

Investigative records are maintained in locked file cabinets, safes, or secured areas under the scrutiny of Inspection Service personnel who have been subjected to security clearance procedures. Access is further restricted by computer passwords when stored in electronic format. Automated records can only be accessed through authorized terminals by authorized users. Computer software has been designed to protect data by controlling access, logging actions, and reporting exceptions and violations.

Retention and Disposal

- a. Records are maintained 1 to 15 years, depending on type. Exceptions may be granted for longer retention in specific instances. Paper records are destroyed by burning, pulping, or shredding. Computer tape/disk records are erased or destroyed.
- b. Duplicate copies of investigative memorandums maintained by postal officials other than the Inspection Service are retained in accordance with official rather than Inspection Service disposition schedules.

System Manager(s) and Address:

CHIEF POSTAL INSPECTOR
INSPECTION SERVICE
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-2100

Notification Procedure

Individuals wanting to know whether information about them is in this system of records or if they were the subject of an investigation must furnish the system manager sufficient identifying information to distinguish them from other individuals of like name; identifying data will contain date of birth, name, address, type of investigation, dates, places, and the individual's involvement.

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Personal interviews, written inquiries, and other records about individuals involved with an investigation, whether subjects, applicants, witnesses, references, or custodians of record information.

Systems Exempted From Certain Provisions of the Act

The Postal Service has established regulations at 39 CFR 266.9 that exempt information contained in this system of records from various provisions of the Privacy Act depending on the purpose for which the information was gathered and for which it will be used. Compliance with the disclosure

(552a U.S.C. (d)) and other subsections of the Act are not compatible with investigative practice and would substantially compromise the efficacy and integrity of Postal Inspection Service operations. The purposes for which records are kept within this system and the exemptions applicable to those records are as follows:

- a. Criminal law enforcement — Under 5 U.S.C. 552a(j)(2), information compiled for this purpose is exempt from all the provisions of the Act except the following sections: (b), (c)(1) and (2), (e)(4)(A) through (F), (e)(6), (7), (9), (10), (11), and (i).
- b. Noncriminal investigatory — material compiled for law enforcement purposes (and not exempted by 5 U.S.C. 552a(j)(2)) is exempted from the following provisions of the Act: (c)(3), (d), (e)(4)(G), (H) and (I), and (f).
- c. Background investigations — material compiled solely for the purpose of a background security investigation is exempted by 5 U.S.C. 552a(k)(5) from the following provisions of the Act: (c)(3), (d), (e)(4)(G), (H) and (I), and (f).

USPS 080.020
System Name
Inspection Requirements — Mail Cover
Program Records, 080.020

System Location

Chief Postal Inspector, Postal Service Headquarters; Field Operation Support Groups and Divisional Offices.

Categories of Individuals Covered by the System

Individuals on whom a mail cover has been duly authorized to obtain information in the interest of (1) protecting the national security; (2) locating a fugitive; and (3) obtaining evidence of the commission or attempted commission of a crime that is punishable by imprisonment for a term exceeding 1 year.

Categories of Records in the System

Names and addresses of individuals, interoffice memoranda, and correspondence with other agencies.

Authority for Maintenance of the System

39 U.S.C. 401, 404.

Purpose(s)

To investigate the commission of or attempted commission of acts constituting a crime that is punishable by law.

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

General routine use statements a, b, c, d, e, f, g, h, and j listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Information from this system of records may be disclosed to an appropriate law enforcement agency, whether federal, state, or local, charged by law with the responsibility for investigating, prosecuting, or otherwise acting with respect to protecting the national security, locating a fugitive, or obtaining evidence of commission or attempted commission of a crime.

2. A record relating to a case or matter may be disseminated in an appropriate federal, state, local, or foreign court or grand jury proceeding under established constitutional, substantive, or procedural law or practice.
3. A record relating to a case or matter may be disseminated to an actual or potential party or his or her attorney for the purpose of negotiation or discussion on such matters as settlement of the case or matter, plea bargaining, or informal discovery proceedings.

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

Storage

Original typed documents and/or duplicate copies and computer storage media.

Retrievability

Subject's name, filed alphabetically by fiscal year.

Safeguards

Mail cover data are stored in locked file cabinets, safes, or secured areas under the security of Inspection Service personnel who have been subjected to security clearance procedures, and, when stored in electronic format, access is further restricted by computer password or keylock. Classified mail cover material and any mail cover data that involve national security are stored in a safe or in metal file cabinets equipped with either steel lockbar hasp and staple or locking device and an approved three or more number combination dial-type padlock from which the manufacturer's identification numbers have been removed. Computer terminals with nonremovable tape/disk files are in a secured area, and access is further restricted by computer password and keylock.

Retention and Disposal

- a. Corresponding Files — Destroy 5 years after mail cover terminates.
- b. Investigations (C) — Transfer to FRC when 2 years old; destroy when 5 years old.
- c. Index and Record Slips — Destroy 15 years after close of case.

System Manager(s) and Address:

CHIEF POSTAL INSPECTOR
 INSPECTION SERVICE
 UNITED STATES POSTAL SERVICE
 475 L'ENFANT PLZ SW
 WASHINGTON DC 20260-2100

Notification Procedure

Persons wishing to know whether information about them is maintained in this system of records should address inquiries to the system manager. Inquiries should contain full name and current address, together with previous addresses for past 5 years, when applicable.

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Correspondence from requesting authority and record of action taken on that request.

Systems Exempted From Certain Provisions of the Act

References 39 CFR 266.9 for details.

USPS 080.030

System Name

Inspection Requirements — Vehicular Violations Records System, 080.030

System Locations

Purchasing, Engineering, and Inspection Service, Postal Service Headquarters; and those postal field facilities where security officers have the authority to issue violation notices.

Categories of Individuals Covered by the System

Persons who have been issued courtesy violation notices or violation notices by Postal Police Officers

Categories of Records in the System

Individual violator's name, state operator permit, state operator permit number, violation cited, date of citation, citation number issued, state automobile license tag number, and dates of court appearances.

Authority for Maintenance of the System

39 U.S.C. 401(2) and 40 U.S.C. 318, annually made applicable to the Postal Service by general provisions of the Treasury, Postal Service, and General Government Appropriations Act.

Purpose(s)

To provide Postal Service management with information necessary for appropriate administrative remedial action.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, and l listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system.

To provide information to local, state, and federal enforcement prosecutive and judicial officials.

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

Storage

Original, typed, printed, or handwritten form and on computer storage media.

Retrievability

Alphabetically, by name of violator and by automobile license tag number.

Safeguards

Records kept in limited-access Security Force Control Centers manned 24 hours and at Postal Service Headquarters, in locked filing cabinets under scrutiny of authorized personnel. Computer terminals and tape/disk files are in a secured area.

Retention and Disposal

Records are kept for 2 years and then destroyed. Some records may be retained longer when required for law enforcement investigations or court proceedings. Automated printouts are destroyed when generating updated printouts.

System Manager(s) and Address:

CHIEF POSTAL INSPECTOR
INSPECTION SERVICE
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-2100

Notification Procedure

Individuals wanting to know whether information about them is maintained in this system of records must furnish name and residence address as follows:

- a. *For National Headquarters:*
INSPECTOR-IN-CHARGE
WASHINGTON DIVISION
PO BOX 96096
WASHINGTON DC 20066-6096
- b. *For the Field:* Inspector-in-Charge, USPS appropriate field division.

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Individual violators, Postal Police Officers, personnel observation, state motor vehicle registration bureau, Postal Service Personnel Department, supervisory personnel of tenant firms, Postal Service Parking Control Officer, prosecutive and judicial officials; motor vehicle operators' permits, violator's personal identification cards, personnel locator listing and parking applications.

USPS 100.010

System Name

Office Administration — Carpool Coordination/Parking Services Record System

System Location

Facilities, Headquarters, and various field installations.

Categories of Individuals Covered by the System

Postal Service employees, students/conferees, building tenants, individuals who are members of carpools with Postal

Service employees and other individuals who use postal parking facilities.

Categories of Records in the System

Applications, registration forms, letters of violations, letters of suspensions and payment data. Information in these records contain name, space number, principal and other drivers' license numbers, and home addresses.

Authority for Maintenance of the System

39 U.S.C. 401.

Purpose(s)

Provide parking and carpooling services to employees and others who use postal parking facilities.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

Disclosure may also be made to provide any employee of Postal Service Headquarters who desires to join or establish a carpool with a listing of employees who live in his or her ZIP Code area.

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

Storage

Preprinted forms and magnetic tape/disk.

Retrievability

Name and ZIP Code, space or license number.

Safeguards

Folders with paper documents are kept in locked file cabinets to which only authorized personnel have access. Computer equipment is in a secured area, and magnetic tape/disk files are kept in locked steel cabinets. Access to automated records is further restricted by passwords.

Retention and Disposal

- a. Application Case Files — Screen file annually, and dispose of records that are 6 years old.
- b. Machine-readable files — Immediately remove all information when employee/trainee surrenders space.
- c. Accounting Reports — Destroy after audit or when 3 years old, whichever is sooner.
- d. Other miscellaneous reports — Destroy when no longer needed for reference or when 1 year old, whichever is sooner.
- e. Violations kept in application case files — Destroy violation notice when 1 year old.
- f. Medical files kept by medical officer to support handicapped parking space — Destroy 1 year from date of termination of assignment. At the end of retention period, paper records are destroyed by shredding or burning, and tape/disk records are erased.

System Manager(s) and Address:

VICE PRESIDENT
FACILITIES
UNITED STATES POSTAL SERVICE
4301 WILSON BLVD STE 300
ARLINGTON VA 22203-1861

Notification Procedure

Employees wanting to know whether information about them is maintained in this system of records must address inquiries to the system manager where carpool/parking services are provided to him or her.

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Carpool and parking service applicants/users.

USPS 100.050

System Name

Office Administration — Localized Employee Administration Records, 100.050

System Location

Field facilities as designated by the facility head.

Categories of Individuals Covered by the System

Facility employees.

Categories of Records in the System

Employee name, various information associated with work location, home address, emergency contact point, and other information as locally required.

Authority for Maintenance of the System

39 U.S.C. 1001.

Purpose(s)

Provides readily available information on employees for various routine administrative purposes such as work location identification, emergency locating, and home mailings.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system.

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

Storage

Paper records and computer disk.

Retrievability

Employee name, organization, pay location, finance number, others as locally required.

Safeguards

Paper records kept in locked files; computerized disk files password protected.

Retention and Disposal

Records about individual employees will be destroyed within 6 months of employment termination at that facility. Lists generated from computerized systems will be destroyed with the generation of a subsequent more current list.

System Manager(s) and Address:

Facility head.

Notification Procedure

Inquiries must contain employee's name and be addressed to the System Manager.

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Individuals of record.

USPS 110.010

System Name

Property Management — Accountable Property Records, 110.010

System Location

All Postal Service components.

Categories of Individuals Covered by the System

Employees and contractors who have access to Postal Service buildings and facilities and/or who are assigned accountable property. Database also contains the following categories:

- Building tenants.
- Advisory Committee Members (MTAC).
- Board of Governors.
- Union officials.

Categories of Records in the System

Information needed to issue building access badges to employees and contractors. This information includes name, Social Security number, date of birth, home address,

emergency contact name and telephone number, image (photograph); organization/office of assignment; employee's title and work number, supervisor's title and work number, and security badge issue information such as access level. The system also contains information controlling the issuance of accountable Postal Service property, such as equipment and controlled documents. That information includes name, Social Security number, equipment description, equipment serial numbers, and issuance date.

Authority for Maintenance of the System

39 U.S.C. 401.

Purpose(s)

To ensure employee and building safety and security by controlling access to Postal Service buildings and facilities and to protect Postal Service accountable property and equipment by controlling issuance.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system.

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

Storage

Printed forms and computer storage media.

Retrievability

Name or Social Security number of recipient of accountable property and types of equipment.

Safeguards

Hard copy records and computers containing information within this system of records are located in buildings and/or areas with controlled access. Information within computer systems is protected by computer security technology including the use of logon IDs and passwords. Access to automated and hard copy records is given on an official need-to-know basis.

Retention and Disposal

Issuance documents are returned to the individual when accountability is terminated. Automated printouts are destroyed when generating updated printouts.

System Manager(s) and Address:

CHIEF POSTAL INSPECTOR
INSPECTION SERVICE
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-2100

VICE PRESIDENT
FACILITIES
UNITED STATES POSTAL SERVICE
4301 WILSON BLVD STE 300
ARLINGTON VA 22203-1861

Notification Procedure

Employees wanting to know whether information about them is maintained in the system must address inquiries to the

custodian in the facility where assignment was made. Headquarters employees must submit request to the system manager.

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Information is obtained from the individual to whom the record pertains.

USPS 110.020

System Name

Property Management — Possible Infringement of Postal Service Intellectual Property Rights, 110.020

System Location

Office of Patent Counsel, Corporate Law Section, Law Department, Postal Service Headquarters.

Categories of Individuals Covered by the System

Possible infringers of Postal Service copyrights and trademarks, inventors of proposed devices in which the Postal Service may have an interest.

Categories of Records in the System

Reports from Inspection Service, other postal employees, or other sources reporting possible infringers, including advertisements, photographs, magazine clippings, or other documents, and any correspondence or records of telephone conversations between the Postal Service and the possible infringer; patent applications and related documents, including descriptions of inventions, drawings, specifications, and letters of patent issued by the U.S. Patent Office or notices of abandonment; litigation records related to the defense or enforcement of Postal Service rights in intellectual property or patents.

Authority for Maintenance of the System

39 U.S.C. 401(5).

Purpose(s)

To protect Postal Service intellectual properties and patents by ensuring timely action against possible infringers and to support potential litigation.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, and l listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. A record may be transferred, and information from it disclosed, to any officer, employee, former officer or

employee, consultant, contractor, or subcontractor, when necessary to enable counsel to afford proper representation to the Postal Service.

2. A record may be transferred and information from it disclosed to any federal agency as may be appropriate for coordinated defense or prosecution of related litigation or the resolution of related claims or issues without litigation.
3. A record may be disclosed in a federal, state, local, or foreign judicial or administrative proceeding under the procedures and practices governing such proceeding.
4. A record may be transferred and information from it disclosed to the Patent and Trademark Office, Department of Commerce, when relevant in any proceeding involving the registration of Postal Service trademarks or issuance of patents.
5. A record may be transferred and information from it disclosed to the Copyright Office, Library of Congress, when relevant in any proceeding involving the registration of Postal Service copyrights.
6. Information in litigation records is public to the extent that the documents have been filed in a court or public administrative proceeding, unless the court or other adjudicative body has ordered otherwise. Such public information, including information about the nature, statute, and disposition of the proceeding, may be disclosed to any individual, unless it is deemed that release of specific information in a particular case would be an unwarranted invasion of personal privacy.
7. When considered appropriate, records in this system may be referred to a bar association or similar federal, state, or local licensing or regulatory authority for possible disciplinary action.

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

Storage

Stored in secure file cabinets in original, typed, printed, or handwritten form. Index cards, kept in a card file, are filed by Postal Service copyright and trademark and subfiled under the name of each possible infringer of that particular copyright or trademark. Some correspondence is also stored on magnetic tape or disk in automated office equipment.

Retrievability

Name of possible infringer and Postal Service copyright or trademark; patent application files are retrieved by name of inventor.

Safeguards

Secure file cabinets under the scrutiny of Postal Service attorneys. Access to computer data is restricted to personnel having an official need for access.

Retention and Disposal

Records are retained for 50 years after closing case and then destroyed by shredding or burning.

System Manager(s) and Address:

SENIOR VICE PRESIDENT AND GENERAL COUNSEL
LAW DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-1100

Notification Procedure

An individual wanting to determine whether this system of records has information about him or her must write to the system manager and provide his or her full name and, if known, the pertinent Postal Service copyright, trademark, or patent.

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Note: Review of requests seeking amendment of records that have been the subject of a judicial or quasi-judicial administrative action will be limited. The amendment provisions of the Act are not intended to permit the alteration of evidence presented during an adjudication, nor are they intended to provide a means for collaterally attacking the finality of a judicial or administrative decision. Review of requests for amendment of adjudicative records will be restricted to determining whether the records accurately reflect the action of the judicial or administrative body ruling on the case, and will not include a review of the merits of the action, determination, or finding.

Record Source Categories

Information is provided by the Postal Inspection Service, postal employees, and customers.

Systems Exempted From Certain Provisions of the Act

Records or information in this system that have been compiled in reasonable anticipation of a civil action or proceeding are exempt from individual access under 5 U.S.C. 552a(d)(5). In addition, the Postal Service has claimed exemptions from certain provisions of the Act for several of its other systems of records as permitted by 5 U.S.C. 552a(j) and (k). See 39 CFR 266.9. To the extent that copies of exempt records from these other systems are incorporated into this system, the exemptions applicable to the original primary system must continue to apply to the incorporated records.

USPS 120.020

System Name

Personnel Records — Blood Donor Records, 120.020

System Location

Health Units at Postal Service Facilities; District Chapters of the American Red Cross.

Categories of Individuals Covered by the System

Postal Service employees who volunteer to join the Postal Service Blood Donor Program.

Categories of Records in the System

Name, work location, blood type, and date of each donation.

Authority for Maintenance of the System

39 U.S.C. 401.

Purpose(s)

To provide the Postal Service Blood Donation Program with a record of each donor's blood type and dates of donation.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system.

Disclosure may be made to the American Red Cross in response to an inquiry for available donors having a particular blood type.

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

Storage

Preprinted forms.

Retrievability

Employee's name.

Safeguards

Closed file cabinets in secured facilities.

Retention and Disposal

These records are retained for a period of 5 years after termination of employment and then destroyed by shredding.

System Manager(s) and Address:

VICE PRESIDENT
HUMAN RESOURCES
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-4200

Notification Procedure

Employees wanting to know whether information about them is maintained in this system of records must address inquiries to the head of the facility where employed. Headquarters employees must submit requests to the system manager. Inquiries must include full name.

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Information is obtained from the individual.

USPS 120.035

System Name

Personnel Records — Employee Accident Records, 120.035

System Location

Safety offices in any Postal Service facility.

Categories of Individuals Covered by the System

All employees that experience an on-the-job accident or an occupational injury or illness.

Categories of Records in the System

Name, Social Security number, address, sex, age, and accident/injury circumstances and factors, statements of witnesses, investigation worksheet, summary of claims, and related logs, forms, and correspondence.

Authority for Maintenance of the System

Pub. L. 91-596, Executive Order 12196, and 29 CFR Part 1960.

Purpose(s)

- a. To assist postal managers in meeting the requirement to develop and maintain an effective program of collection, compilation, and analysis of occupational safety and health statistics.
- b. To provide for the uniform collection and compilation of occupational safety and health data, for proper evaluation, and necessary corrective action.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. To furnish the U.S. Department of Labor with serious accident reports, information to reconcile claims filed with the Office of Worker's Compensation, and quarterly and annual summaries of occupational injuries and illnesses and to make information available to the Secretary of Labor on his or her request.
2. Disclosure may be made to a court, claimant, party in litigation, or counsel for a claimant or party, when necessary to mitigate settlement or attempts at settlement of claims involving the accident.
3. May be disclosed to compliance safety and health officers — industrial hygienists from the Occupational Safety and Health Administration, or to industrial hygienists from the National Institute for Occupational Safety and Health — when conducting announced or unannounced inspections or investigations of postal facilities.

4. Disclosure may be made to the American Insurance Association Index System and its members, when necessary to obtain information from the System that may be relevant to a reported postal job-related accident, injury, or illness. Disclosure will be limited to the name, occupation, home address, date and place of accident, nature of injury, and type of claim, if applicable.

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

Storage

Index cards, magnetic tape/disk, microfilm, preprinted forms, logs, and computer reports.

Retrievability

Employee name and Social Security number.

Safeguards

Kept in closed file cabinets within secured facilities and are also protected by computer password and tape or disk library physical security.

Retention and Disposal

Records are maintained locally for 5 years. Copies are maintained at Headquarters for 5 years following the end of the calendar year to which they relate as required by OSHA.

System Manager(s) and Address:

VICE PRESIDENT
HUMAN RESOURCES
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-4200

Notification Procedure

Employees wanting to know whether information about them is maintained in this system of records must address inquiries to the head of the facility where employed. Headquarters employees must submit requests to the system manager. Inquiries must contain full name, address, finance number, and Social Security number.

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Postal Service Accident Reports and OWCP claim forms.

Systems Exempted From Certain Provisions of the Act

Records or information in this system that have been compiled in reasonable anticipation of a civil action or proceeding are exempt from individual access under 5 U.S.C. 552a(d)(5). In addition, the Postal Service has claimed exemptions from certain provisions of the Act for several of its other systems of records as permitted by 5 U.S.C. 552a(j) and (k). See 39 CFR 266.9. To the extent that copies of exempt records from these

other systems are incorporated into this system, the exemptions applicable to the original primary system must continue to apply to the incorporated records.

USPS 120.036

System Name

Personnel Records — Discipline, Grievance, and Appeals Records for Nonbargaining Unit Employees, 120.036

System Location

All postal facilities.

Categories of Individuals Covered by the System

Records are maintained on nonbargaining employees in the Executive and Administrative (EA) Schedule, Executive and Administrative Postmaster (EPM) Schedule, and Postal Career Executive Service (PCES) Level I, who have completed 6 months of continuous service in the U.S. Postal Service or a minimum of 12 months of combined service, without break of a workday, in positions in the same line of work in the Civil Service and the U.S. Postal Service, unless any part of such service was under a temporary appointment in the competitive service with a definite time limitation.

Categories of Records in the System

Notice to employee of proposed action, reply to notice, summary of oral reply, employee notice of grievance, employee notice of appeal, records of hearing proceedings, appeal decisions from installation head, area office or Headquarters, notice of action, investigative reports and related records.

Authority for Maintenance of the System

39 U.S.C. 1001; Subchapter 650 of the Employee and Labor Relations Manual.

Purpose(s)

Provides a grievance and appeal procedure for an employee not subject to the provisions of a collective bargaining agreement who alleges that his or her rights regarding compensation, benefits, or other terms and conditions of employment have been adversely affected.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. To respond to a court subpoena or refer to a court in a civil suit.
2. To adjudicate an appeal, complaint, or grievance.
3. Records from the employee file will be disclosed to the Merit Systems Protection Board (MSPB) and the Equal Employment Opportunity Commission (EEOC) for action on appeals before the MSPB and complaints of discrimination before the EEOC.

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

Storage

Information in this system is maintained on paper in the form of letters, forms, notices, and transcripts of hearings. In some instances, records of hearing proceedings are on magnetic tape.

Retrievability

Employee name.

Safeguards

Records are kept in locked filing cabinets or secured record storage rooms and are available only to authorized officials.

Retention and Disposal

Appeal records are kept for 7 years after close of file. All other records are kept 1 year after close of file.

System Manager(s) and Address:

VICE PRESIDENT
HUMAN RESOURCES
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-4200

Notification Procedure

Field employees must submit a written request to the head of the field installation where the action was initiated. Headquarters employees must submit a written request to the System Manager. They may also request permission to listen to or record tape recordings of hearings. This must be done in the presence of a postal official. They must identify themselves to the satisfaction of the official authorized to approve request.

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Employees initiating actions, employee's supervisors, management, complaining customer, law enforcement agencies, and others.

Systems Exempted From Certain Provisions of the Act

Records or information in this system that have been compiled in reasonable anticipation of a civil action or proceeding are exempt from individual access under 5 U.S.C. 552a(d)(5). In addition, the Postal Service has claimed exemptions from certain provisions of the Act for several of its other systems of records as permitted by 5 U.S.C. 552a(j) and (k). See 39 CFR 266.9. To the extent that copies of exempt records from these other systems are incorporated into this system, the exemptions applicable to the original primary system must continue to apply to the incorporated records.

USPS 120.040
System Name
Personnel Records — Employee Job Bidding Records, 120.040

System Location

Most departments, facilities, and certain contractor sites of the Postal Service.

Categories of Individuals Covered by the System

Employees who have made a "Bid for Preferred Assignment" with the Postal Service.

Categories of Records in the System

Employee name, Social Security number, seniority and grade levels, craft, and knowledge of schemes; vacant position characteristics.

Authority for Maintenance of the System

39 U.S.C. 1001, 1206.

Purpose(s)

To provide personnel offices with fair and impartial information to match vacant position to the most qualified candidate.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

To provide information for official bulletin boards and release to various employee organizations.

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

Storage

Records are stored on magnetic tape, punched cards, preprinted forms, and computer-printed reports.

Retrievability

The system is indexed by employee name and Social Security number.

Safeguards

Computer center access control and limitation within offices to those employees maintaining the system.

Retention and Disposal

Computer records are kept 2 years, then automatically deleted. Paper records are kept 6 months after a vacancy is filled, then destroyed. Some records are retained until employee separates. (Where records become part of a grievance case file, dispose of with the case file.)

System Manager(s) and Address:

VICE PRESIDENT
 HUMAN RESOURCES
 UNITED STATES POSTAL SERVICE
 475 L'ENFANT PLZ SW
 WASHINGTON DC 20260-4200

Notification Procedure

The employee must state the position of bid and identify himself or herself with name, Social Security number, closing date of the bid notice, and forward this information to the head of the facility where employed. Headquarters employees must submit requests to the system manager.

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Employee personnel data, scheme knowledge, qualifications of the job and of the candidate, and successful bidders notices from vacant duty assignment postings.

USPS 120.050
System Name
Personnel Records — Ideas Program, Employee Records, 120.050

System Location

Postal Service Headquarters, area offices, and Information Systems Service Centers.

Categories of Individuals Covered by the System

Postal Service employees.

Categories of Records in the System

Name of employee, employee number, employment location, idea number, idea proposal and decision. If adopted, award authorization and recognition granted.

Authority for Maintenance of the System

Chapter 45 of Title 5, U.S.C.

Purpose(s)

To provide a source of data on the effectiveness of the Employee Ideas program that is summarized in an Annual Report.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system.

Disclosure may also be made to the news media from the record of an individual regarding his or her receipt of an employee award when the information is of news interest and consistent with the public right to know.

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

Storage

Printed forms and magnetic tape.

Retrievability

Employee name, area where employed, pay location, and district.

Safeguards

This information is maintained in file cabinets in secured facilities. Automated records are restricted to personnel having an official need for access.

Retention and Disposal

- a. Adopted Ideas:
 - (1) Record copies — Destroy when 4 years old.
 - (2) All other copies — Destroy 2 years from date of adoption or approval.
- b. Ideas not adopted — Destroy 2 years from date of disapproval. Records are destroyed by shredding and automatic deletion from computer tapes.

System Manager(s) and Address:

VICE PRESIDENT
HUMAN RESOURCES
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-4200

Notification Procedure

Employees wishing to know whether information about them is maintained in this system of records should contact the head of the facility where employed. Also, employees whose ideas have been adopted nationwide should submit requests to the system manager. Headquarters employees should submit all requests to the system manager.

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Information is obtained from the individual submitting the idea proposal.

USPS 120.060

System Name Personnel Records — Confidential Financial Disclosure Reports, 120.060

System Location

Records pertaining to employees in each organizational component of the Postal Service are maintained in the field by managing field counsel and at Headquarters by the vice president having jurisdiction for that component.

Note: The records in this system are part of a government-wide system, OGE/GOVT-2, that is managed by the U.S. Office of Government Ethics. See 55 Fed. Reg. 6330 (1990).

Categories of Individuals Covered by the System

Postal Service Governors, employees, and special employees (except employees who are required to file public financial disclosure reports) as determined by the criteria in Executive Orders 12674 and 12731 and implemented by regulations of the U.S. Office of Government Ethics, 5 CFR 2634.904.

Categories of Records in the System

Standard Form 450, *Executive Branch Personnel Confidential Financial Disclosure Report* (superseding PS Forms 2417 and 2418) and supplemental statements, containing employee name, title, date of appointment to present position; list of assets and sources of income other than the United States Government, liabilities, outside positions, relations with other employers, and gifts and reimbursements. Opinions of counsel. Other information related to review of reports and conflict of interest determinations. Postal Service Governors complete Standard Form 278 in lieu of SF 450.

Authority for Maintenance of the System

Section 107 of the Ethics in Government Act, 5 U.S.C. App., as amended; Executive Orders 12674 and 12731; 5 CFR 2634.

Purpose(s)

These records are maintained to meet requirements of Executive Order 12674 on the filing of confidential financial disclosure reports. Such reports are required to assure compliance with the standards of conduct for government employees contained in the Executive Order and Title 18 of the U.S. Code and to determine if a conflict of interest exists between the employment of individuals by the Postal Service and their personal employment and financial interests. To enable the director of the Office of Government Ethics to ensure that these purposes are met, records maintained by the Postal Service are to be made available to that office on request. Records may also be furnished to the Executive Office of the President and to the appropriate Congressional committee when needed in connection with the nomination and confirmation of Presidential appointees.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the prefatory statement at the beginning of the

Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Records or information may be provided to the director, or his or her representative, of the Office of Government Ethics.
2. Records or information may be provided on request to the Executive Office of the President when needed in connection with the nomination of presidential appointees.
3. Records or information may be disclosed to any source when necessary to obtain information relevant to a conflict-of-interest investigation or determination.

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

Storage

Preprinted forms and paper folders. Information from the forms may also be stored on magnetic tape or disk in automated office equipment.

Retrievability

Records are retrieved by the individual's name within each organizational component.

Safeguards

Records are kept in secure file cabinets to which only authorized personnel have access. Access to computer data is restricted to personnel having an official need for access.

Retention and Disposal

Records are maintained for 6 years, or longer, if needed in connection with a pending investigation. Disposal is by shredding or burning.

System Manager(s) and Address:

SENIOR VICE PRESIDENT AND GENERAL COUNSEL
LAW DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-1100

Notification Procedure

An employee wanting to inquire whether this system of records contains information about him or her or to gain access to information pertaining to him or her must direct an inquiry to the head of the facility where employed. Headquarters employees must submit requests to the system manager. Inquiries must contain full name and place of employment.

Record Access Procedures

See Notification Procedure above. Individuals requesting access must also comply with Postal Service Privacy Act regulations on verification of identity and access to records (39 CFR 266.6).

Contesting Record Procedures

See Notification Procedure above. Since the information in these records is updated by the subject individual on a periodic basis, most record corrections can be accomplished by filing supplemental statements. However, individuals may obtain information on the procedures for contesting the records under the provisions of the Privacy Act by contacting the system manager.

Record Source Categories

Information in this system of records is provided by:

- a. The subject individual or by a designated individual such as a trustee, attorney, accountant, or relative.
- b. Ethics officials who review the statements to make conflict of interest determinations.
- c. Individuals alleging conflicts of interests and persons contacted during any investigation of the allegations.

USPS 120.061

System Name

Personnel Records — Public Financial Disclosure Reports for Executive Branch Personnel, 120.061

System Location

Law Department, Postal Service Headquarters.

Note: The records in this system are part of a government-wide system, OGE/GOVT-1, that is managed by the U.S. Office of Government Ethics. See 55 Fed. Reg. 6328 (1990).

Categories of Individuals Covered by the System

Senior-level employees as determined by the criteria in Section 201(f) of the Ethics in Government Act consisting of the following persons: postmaster general, deputy postmaster general, the ethical conduct officer, administrative law judges, each employee whose basic rate is equal to or greater than 120% of the rate of basic pay for the first step of GS 15.

Note: Records pertaining to the Governors of the Postal Service are maintained as a part of System USPS 120.060 and are not contained in this system.

Categories of Records in the System

Public Financial Disclosure Report (Standard Form 278, or such other forms as may be prescribed by the director, Office of Government Ethics) containing the following types of information: income from sources other than the Postal Service; interests in property, and purchases, sales and exchange of property; gifts and reimbursements; liabilities; positions held, relations with other employers. Position descriptions, opinions of counsel and other information related to review of reports and to conflict of interest determinations.

Authority for Maintenance of the System

Title I of Ethics in Government Act of 1978 Pub. L. 95-521 and Ethics Reform Act of 1989, Pub. L. 101-194, as amended.

Purpose(s)

These records are maintained to meet the public financial reporting requirements imposed by the Ethics in Government Act on high-level executive personnel. The reports serve to deter conflicts of interest and to identify potential conflicts of interest by providing for a systematic disclosure and review of the financial interests of current and prospective officers and employees. To enable the director of the Office of Government Ethics to ensure that these purposes are met, records kept by the Postal Service are made available to that office on request. Records may also be furnished to the Executive Office of the President and to the appropriate congressional committee

Appendix – Privacy Act Systems of Records

when needed in connection with the nomination and confirmation of presidential appointees.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Financial Disclosure Reports (SF 278) are available to members of the public for inspection and copying upon written request made in accordance with Section 205 of the Ethics in Government Act, Pub. L. 95-521, as amended.
2. Records or information may be provided to the Director, or his or her representative, of the Office of Government Ethics.
3. Records or information may be provided on request to the Executive Office of the President when needed in connection with the nomination of Presidential appointees.
4. Records or information may be disclosed to any source when necessary to obtain information relevant to a conflict-of-interest investigation or determination.
5. In accordance with Section 105 of the Ethics in Government Act, as amended, and subject to the limitations contained in Section 208(d)(1) of Title 18, U.S. Code, any determination granting an exemption pursuant to Section 208(b)(1) of Title 18, U.S. Code, may be disclosed to any requesting person.

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

Storage

Preprinted forms and paper folders. Information from the forms may also be stored on magnetic tape or disk in automated office equipment.

Retrievability

Records are retrieved by the individual's name.

Safeguards

Paper records are kept in secure file cabinets to which only authorized personnel have access. Access to computer data is restricted to those having an official need for access.

Retention and Disposal

Records are maintained for 6 years, or longer if needed in connection with a pending investigation. Disposal is by shredding or burning.

System Manager(s) and Address:

SENIOR VICE PRESIDENT AND GENERAL COUNSEL
LAW DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-1100

Notification Procedure

An employee wanting to inquire whether this system of records contains information about him or her or to gain access to information pertaining to him or her must direct an inquiry to the system manager. Inquiries must contain full name and place of employment.

Record Access Procedures

See Notification Procedure above.

Contesting Record Procedures

See Notification Procedure above. Because the information in these records is updated by the subject individual on a periodic basis, most record corrections can be accomplished by filing subsequent reports. However, individuals can obtain information on the procedures for contesting the records under the provisions of the Privacy Act by contacting the system manager.

Record Source Categories

Information in this system of records is provided by:

- a. The subject individual or by a designated individual such as a trustee, attorney, accountant, or relative.
- b. Ethics officials who review the reports to make conflict of interest determinations.
- c. Individuals alleging conflicts of interests and persons contacted during any investigation of the allegations.

USPS 120.070

System Name

Personnel Records — General Personnel Folder (Official Personnel Folders and Records Related Thereto), 120.070

System Location

Personnel Offices of all USPS facilities; National Personnel Records Center, St. Louis, MO; Human Resources Information Systems, Headquarters; Information Systems Service Centers; National Test Administration Center, Merrifield, VA; and selected contractor sites.

Categories of Individuals Covered by the System

Present and former Postal Service employees; and current employees' children or former spouses and former employees' family members or former spouses who qualify and apply for Federal Employee Health Benefits coverage under Public Laws 98-615 or 100-654.

Categories of Records in the System

1. **Contents of Official Personnel Folders.** These include documents pertaining to preemployment, prior federal employment, and current service as prescribed by Postal Service directives, including but not limited to: applications, resumes, merit evaluations, promotions, salary changes and other personnel actions, letters of commendation, records of disciplinary actions (which include letters of warning; notices of removal, suspension, or reduction in grade or pay; letters of decision; and documents relating to these actions), health benefits, retirement, flexible spending account, and life insurance elections.
2. Automated employee data contained within records maintained in Official Personnel Folders (OPFs), especially from Form 50, *Notification of Personnel Action*. These include Social Security number, date of birth; mailing address; occupation title; OPF location; duty station; employment status; level of education; prior employment; leave, retirement, and anniversary dates; tax, retirement, salary, and military service

information. Some of this information is part of USPS 050.020, Finance Records — Payroll System.

3. Reference copies of all discipline or adverse actions. These include letters of warning; notices of removal, suspension, 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.

Note: This system also has an automated tracking system that is used primarily to control and document disciplinary actions and to provide statistical information.

Authority for Maintenance of the System

39 U.S.C. 1001, 1005; 42 U.S.C. 2000e-16. Executive Orders 11478 and 11590.

Purpose(s)

Used by administrators, managers, selection review committees, and individual employee supervisors to perform routine personnel functions.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. To disclose to prospective employers the following information about a specifically identified current or former postal employee: (a) grade, (b) duty status, (c) length of service, (d) job title, (e) salary, and (f) date and reason for separation, limited to one of the following terms: retired, resigned, or separated.
2. To provide statistical reports to Congress, agencies, and the public on characteristics of the Postal Service work force.
3. To provide data for the compilation of a local seniority list that is used by management to make decisions pertaining to appointment and assignments among craft personnel. The list is posted in local facilities where it may be reviewed by Postal Service employees.
4. To transfer to the Office of Personnel Management on retirement of an employee information necessary for processing retirement benefits.
5. Disclosure of relevant and necessary information pertaining to an employee's participation in health, life insurance, and retirement programs may be made to the Office of Personnel Management and private carriers for the provision of related benefits to the participant (also see USPS 050.020).
6. Disclosure of minority designation codes may be made to the Equal Employment Opportunity Commission for the oversight and enforcement of federal EEO regulations.
7. Disclosure of records of discipline relating to individual employees may be made to state employment security agencies at the initial determination level of the unemployment compensation claim process.

8. Information pertaining to an employee who is a retired military officer will be furnished to the appropriate service finance center as required under the provisions of the Dual Compensation Act.
9. May be disclosed to a federal or state agency, providing parent locator services or to other authorized persons as defined by Pub. L. 93-647.
10. Records in this system are subject to review by an independent certified public accountant during an official audit of Postal Service finances.

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

Storage

Paper files, preprinted forms, official personnel folders, and magnetic tape and other computer storage devices.

Retrievability

Employee name and location of employment and Social Security number.

Safeguards

Folders are maintained in locked cabinets to which only authorized personnel have access; automated records are protected by computer passwords and tape or disk library physical security.

Retention and Disposal

1. *Official Personnel Folder (OPF) Records.* Records maintained on the right side of the OPF are considered to be permanent and are maintained until the employee is separated. They are then sent to the National Personnel Records Center, St. Louis, MO, for storage or to the federal agency to which the individual transfers employment.
2. *Temporary Records of Individual Employees.* These records are maintained on the left side of the OPF and are destroyed when 2 years old, upon separation, or upon transfer of employee, if the temporary record is relevant only to the losing postal installation, whichever is sooner.
3. *Original or copies of discipline or adverse actions.* These are maintained on the left side of the OPF for up to 2 years or longer, if additional or more recent disciplinary action has been taken. After 2 years, the employee may request the disciplinary record be purged from the OPF. Records that support a Form 50, *Notification of Personnel Action*, that documents the separation of an employee for cause or the resignation of an employee pending charges are considered permanent records and are maintained on the right side of the OPF. These records may not be purged at the request of an employee.
4. *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.

Appendix – Privacy Act Systems of Records

5. *Disciplinary Tracking System Records.* These are maintained until research purposes are served, not to exceed 30 years. Destruction is by electronic erasure.

System Manager(s) and Address:

VICE PRESIDENT
HUMAN RESOURCES
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-4200

VICE PRESIDENT
LABOR RELATIONS
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-4100

Notification Procedure

Current employees wishing to gain access to records within this system should submit requests to the facility head where currently employed. Requests should include their name and Social Security number. Former employees should submit requests to the facility head where last employed. Requests should include name, Social Security number, date of birth, name and address of office where last employed, and the begin and end dates of postal employment. Former Post Office Department employees having no Postal Service employment (prior to July 1971) must submit the request to the Office of Personnel Management (formerly the U.S. Civil Service Commission) at:

OFFICE OF PERSONNEL MANAGEMENT
COMPLIANCE AND INVESTIGATIONS GROUP
1900 E STREET NW
WASHINGTON DC 20415-0001

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Individual employee, personal references, former employers, and other Postal Service personnel records systems.

Systems Exempted From Certain Provisions of the Act

The Postal Service has claimed exemption from certain provisions of the Act for several of its other systems of records as permitted by 5 U.S.C. 552a(j) and (k). See 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 must continue to apply to the incorporated records.

USPS 120.090

System Name

**Personnel Records — Medical Records,
120.090**

System Location

Postal Service medical facilities and designee offices, Postal Service Corporate Health and Fitness Center (L'Enfant Plaza location only), and Postal Service personnel offices (rosters of examinees scheduled for medical assessment only).

Categories of Individuals Covered by the System

Present and former Postal Service employees and individuals who have been offered employment but failed the medical examination before being placed on the rolls or who declined the offer and any Headquarters employees who participate in the Corporate Health and Fitness Program.

Categories of Records in the System

Name, address, job title, Social Security number, installation, illness, supervisor's and physician's reports (on Authorizations for Medical Attention), relevant medical history and medical assessments, including physical examinations, treatment received at the health unit, occupational injuries or illnesses, substance abuse information, findings, diagnosis and treatment, doctors' statements and recommendations, records of immunizations, and medical findings related to employee's exposure to toxic substances. In addition, Headquarters employees who participate in the Corporate Health and Fitness Program will voluntarily provide data about their lifestyle, exercise schedule, smoking habits, knowledge about personal health, personal and family medical history, nutrition, stress levels, and other data relevant to making a health risk appraisal. Records of participant employees' individualized schedules and progress may be kept.

Authority for Maintenance of the System

39 U.S.C. 401, 1001.

Purpose(s)

- a. To provide all employees with necessary health care and to determine fitness for duty.
- b. To provide a comprehensive individualized health promotion program for Headquarters employees and to determine the employee and organizational benefits of that program.

Note: Personal information about employee participants in the Corporate Health Fitness Program at Headquarters is under the exclusive custody of the contractor operating the program and is not available to postal management. These data are maintained only for those employees who voluntarily provide it and under conditions assuring that it will not be disclosed without the written authority of the subject employee. Aggregated data may be provided to postal management for

its use in determining the employee and organizational benefits of the program, but those data will have no personal identifiers affixed to it.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Information in these records may be provided to the Office of Personnel Management in making determinations related to:
 - (a) Veterans' preference.
 - (b) Disability retirement.
 - (c) Benefit entitlement.
2. Information in these records may be provided to officials of the following federal agencies responsible for administering benefit programs
 - (a) Office of Workers' Compensation Programs.
 - (b) Retired military pay centers.
 - (c) Department of Veterans Affairs.
 - (d) Social Security Administration.
3. Records in this system may be disclosed to an employee's private treating physician and to medical personnel retained by the Postal Service to provide medical services for an employee's health or physical condition related to employment.
4. May be disclosed to an outside medical service when that organization performs the physical examinations and submits the evaluation to the Postal Service under a contract with the Postal Service as part of an established Postal Service health program for the purpose of determining a postal employee's fitness for duty.
5. May be disclosed to the Occupational Safety and Health Administration, Department of Labor, when needed by that organization to perform its duties properly under 29 CFR Part 19.
6. May be disclosed to the National Institute of Occupational Safety and Health when needed by that organization to perform its duties properly under 29 CFR Part 19.

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

Storage

Preprinted forms, paper files (Official Medical Folders), and magnetic tapes or disks (candidate medical assessments); preprinted forms, paper files, and hard copy computer storage (Corporate Health and Fitness Center records) are stored in limited access areas with appropriate physical and environmental controls to ensure the confidentiality and physical integrity of the information.

Retrievability

Employee name, Social Security number, and location.

Safeguards

Printed copies of medical records are kept in locked file cabinets with controlled physical access, restricted to

individuals who need to know the information in performance of their job functions. Access to computer data is restricted to authorized personnel with a need to know the information in the performance of their job functions and is protected through computer password controls and data encryption. Access to automated Corporate Health and Fitness Center records is restricted by password protection to medical screening personnel and health and fitness specialists under contract to operate the Corporate Health and Fitness Program facility at Headquarters.

Retention and Disposal

- a. Employee Medical Folder (EMF) — Medical records considered permanent are maintained until the employee is separated from the Postal Service, and then the records are sent to the National Personnel Records Center for storage or to the federal agency that now employs the individual. The records are kept for 30 years from the date the employee separates from federal service. Security and privacy of the EMF is safeguarded by the processes and procedures described in Postal Service Management Instruction EL-860-98-2, *Employee Medical Records*. Computer data is archived from the active database to a history database after 3 years and retained in the history database indefinitely.
- b. Candidate medical information of failed eligibles (and those who cleared but ultimately declined the offer) — Candidate medical information — which includes the medical history questionnaire, answer sheet containing the candidate's responses, copy of job application, job description and functional requirements, and supporting medical information acquired in the process of reaching a medical determination of ability to work — is retained in the medical office and destroyed by shredding after 2 years. Computer data are archived from the active database to a history database after 3 years and retained in the history database indefinitely.
- c. Authorization for Medical Attention (Form 3956) — The form is destroyed after 2 years.
- d. Corporate Health and Fitness Center records — The record is retained by the contractor operating the Health and Fitness Center until termination of the contract, at which time the record must be returned to the Postal Service.

System Manager(s) and Address:

VICE PRESIDENT
HUMAN RESOURCES
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-4200

Notification Procedure

An employee wanting to know whether information about him or her is maintained in this system of records must address inquiries to the head of the facility where employed. Headquarters employees must submit requests to the system manager. Failed eligibles must address inquiries to the head of the facility where application for employment was made. Inquiries must contain full name.

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Postal Service employees, selected eligibles, and Department of Veterans Affairs and Postal Service medical staff.

USPS 120.091

System Name

Personnel Records — Vehicle Operators Controlled Substance and Alcohol Testing Records, 120.091

System Location

Postal Service medical facilities, designee medical offices, and program contractor's office.

Categories of Individuals Covered by the System

Current and former postal employees who are or were required to have a commercial driver's license (CDL) and subject to the controlled substance and alcohol testing requirements of the Omnibus Transportation Employee Testing Act of 1991 (Pub. L. 102-143), as mandated by the U.S. Department of Transportation (DOT).

Categories of Records in the System

Employee or applicant name, Social Security number, work address, and telephone number; controlled substance and alcohol testing records and results, including date, time, and reason for each test; test results from former employers; medical personnel assessments of employees' test results, recommendations for action, and related documentation; employee or applicant statements concerning controlled substance and alcohol test results; and documentation of substance abuse professionals' (SAPs) determinations of employees' need for assistance and employees' compliance with SAPs' recommendations.

Authority for Maintenance of the System

39 U.S.C. 401; Pub. L. 102-143; and 49 CFR 40 and 382, 391, 392, 395.

Purpose(s)

- a. To comply with the requirements of the Omnibus Transportation Employee Testing Act of 1991 (Pub. L. 102-143) to implement a controlled substance and alcohol testing program for employees in safety-sensitive positions.
- b. To provide for the uniform collection and compilation of controlled substance and alcohol test results for reporting, analysis, evaluation, and corrective action.

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

General routine use statements a, b, c, d, e, f, j, k, l, and m listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Information in these records may be provided to the Federal Highway Administration (FHWA), when requested by the Secretary of Transportation; to any U.S. Department of Transportation agency; or to any

state or local official with regulatory authority over the Postal Service or its employees (as authorized by DOT agency regulations).

2. Information in these records may be provided to the National Transportation Safety Board in conjunction with an accident investigation.
3. Information in these records may be provided to a subsequent employer upon receipt of a written request from the employee or as directed by the specific written consent of the employee to an identified individual.
4. Information in these records may be provided to the employee or to the decision maker in a lawsuit, grievance, or other proceeding initiated by or on behalf of the employee and arising from the results of a controlled substance and/or alcohol test administered under the regulations issued by DOT or from a determination that the employee engaged in conduct prohibited by Pub. L. 102-143.

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

Storage

Preprinted forms and paper files (including hard copy computer printouts) and computer files.

Retrievability

Employee or applicant name, Social Security number, and chain of custody form numbers.

Safeguards

Kept in locked file cabinets in secured Postal Service medical units and those of its designees.

Retention and Disposal

- a. Destroy the records related to alcohol test results indicating a breath alcohol concentration of 0.02 or greater, verified positive controlled substance test results, refusals, medical review officer's evaluations, employee statements, and substance abuse professionals' evaluations and referrals when the records are 5 years old.
- b. Destroy the records related to alcohol test results indicating a breath alcohol concentration of less than 0.02 and negative and canceled controlled substance test results when the records are 1 year old.

System Manager(s) and Address:

VICE PRESIDENT
HUMAN RESOURCES
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-4200

Notification Procedure

An employee wanting to know whether information about him or her is maintained in this system of records must address inquiries to the head of the facility where the employee is employed. Inquiries must contain the employee's or applicant's full name, Social Security number, and facility where employed (or tested).

Record Access Procedures

Requests for access must be made in accordance with the Notification Procedures above and the Postal Service Privacy

Act regulations regarding access to records and verification of identity under 39 CFR 266.6.

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Postal Service employees, Postal Service medical staff, Postal Service designee testing facilities, substance abuse professionals, and designated contractors.

USPS 120.098

System Name

Personnel Records — Office of Workers' Compensation Program (OWCP) Record Copies, 120.098

System Location

All postal facilities.

Categories of Individuals Covered by the System

Postal employees who have voluntarily filed for injury compensation.

Categories of Records in the System

Copies of Department of Labor forms consisting of claims and supporting information; Postal Service forms and correspondence related to the claim; automated payment and accounting records.

Authority for Maintenance of the System

39 U.S.C. 1005.

Purpose(s)

To provide injury compensation to qualifying employees and to maintain a record of the events as a basis for managerial decisions.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

Information may be provided to the U.S. Department of Labor for the purpose of determining whether a claimant qualifies for compensation and to what extent qualification applies.

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

Storage

Printed forms and correspondence. Continuation of pay and DOL charge-back information is stored on computer media.

Note: In some cases, the Postal Service, by agreement with the Department of Labor (DOL), temporarily stores original case files. These files are DOL records to which DOL rather than Postal Service regulations apply.

Retrievability

Alphabetically by name and Social Security number.

Safeguards

Kept in locked filing cabinets within the exclusive custody of the injury compensation control point. Automated records are protected through computer password security, encryptions, and/or a computer software security system.

Retention and Disposal

Cut off file at the end of the calendar year in which employee's compensation is terminated. Destroy file 5 years from date of cutoff.

System Manager(s) and Address:

VICE PRESIDENT
HUMAN RESOURCES
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-4200

Notification Procedure

Employees wanting to know whether information about them is maintained in this system of records must address inquiries to the head of the facility where employed. Headquarters employees must submit requests to the system manager.

Record Access Procedures

See Notification Procedure above.

Note: The original case file (in most instances) is maintained by OWCP and must be requested from that organization as provided for under the Department of Labor Privacy Act System DOL/EAS-13.

Contesting Record Procedures

The contents of OWCP records may be contested only by contacting OWCP as provided for under the Department of Labor Privacy Act System DOL/EAS-13.

Record Source Categories

Information is obtained from the claimant, the supervisor, witnesses, physicians, Department of Labor, and USPS 120.035.

USPS 120.099

System Name

Personnel Records — Injury Compensation Payment Validation Records, 120.099

System Location

All postal facilities having injury compensation units, National Headquarters, and Information Systems Service Centers.

Categories of Individuals Covered by the System

Current and former Postal Service employees who have received or are receiving injury compensation program payments.

Categories of Records in the System

Lists of individuals whose names appear in two systems of records, research case records, and remuneration records related to injury compensation paid to current and former employees by the Postal Service (see “Retention and Disposal” for cases in which these records are converted to investigative files).

Authority for Maintenance of the System

39 U.S.C. 1001, 39 U.S.C. 1005.

Purpose(s)

This information is used to identify instances in which improper double payments have been or are being made to Postal Service employees who have filed injury-sickness compensation claims and to maintain records of this event as a basis for: detecting fraud, seeking remuneration and/or legal action, reporting the extent of double payments nationwide, and proposing corrective legislation.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the prefatory statement at the beginning of the Postal Service’s published system notices apply to this system.

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

Storage

Computer reports, paper records, correspondence, and research records.

Note: These files are Postal Service records to which Postal Service regulations apply.

Retrievability

Social Security number.

Safeguards

These restricted files are kept in locked file cabinets. Access to automated records is protected through a computer security system, file encryption, and/or password protection.

Retention and Disposal

- a. Computer reports:
 - (1) All personal information on initial data collection reports and master file/tape will be destroyed (or erased) when 3 years old.
 - (2) Subsequent reports having affirmative identifications become part of research case records.
- b. Research case records (copies of records from other systems — contains computer reports, paper reports, and correspondence):
 - (1) If research determines non-applicability, destroy by burning or shredding 6 months after such determination is made.
 - (2) If research determines applicability, research records then become (a) part of an investigative case file and fall within system USPS 080.010, Inspection Requirements Investigative File

System (refer to USPS 080.010 for retention and disposal instructions), or (b) a remuneration case file that is maintained for 2 years after which it is destroyed by burning or shredding. Extra copies of research records are destroyed at the time a remuneration or investigative case file is created.

System Manager(s) and Address:

VICE PRESIDENT
HUMAN RESOURCES
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-4200

Notification Procedure

Employees or former employees wanting to know whether information about them is maintained in this system of records must address inquiries to the system manager.

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Information is obtained from Postal Service injury compensation case files, payment records, and employment records found in Postal Service Privacy Act Systems: USPS 050.020, 120.070, and 120.098; Social Security Administration death files; and relevant federal health benefit carrier’s claim/payment files.

Systems Exempted From Certain Provisions of the Act

Records or information in this system that have been compiled in reasonable anticipation of a civil action or proceeding are exempt from individual access under 5 U.S.C. 552a(d)(5). In addition, the Postal Service has claimed exemption from certain provisions of the Act for several of its other systems of records as permitted by 5 U.S.C. 552a(j) and (k). See 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 must continue to apply to the incorporated records.

USPS 120.100

System Name Personnel Records — Performance Awards System Records, 120.100

System Location

Postal Service Corporate Personnel Operations and Inspection Service, Headquarters; Inspection Service Field Operations Support Groups; district offices; post offices; and Information Systems Service Centers.

Categories of Individuals Covered by the System

Postal Service employees.

Categories of Records in the System

Name of recognized employee and pay location, related records including letter of commendation and appreciation, correspondence or memoranda pertaining to awards from other government agencies or private organizations, length of service awards, incentive awards, recommendations, nominations, and evidence of payment made.

Authority for Maintenance of the System

Chapter 45 of Title 39, U.S.C.

Purpose(s)

To control and measure the effectiveness of the Awards Program under which cash awards are given to recognize and reward employees for special acts, services, or efforts in the public interest related to Postal Service employment or that improve Postal Service effectiveness.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Information is summarized and furnished annually to the Office of Personnel Management, to be contained in the OPM report on incentive awards to the president.
2. Disclosure may be made to the news media from the record of an individual regarding his or her receipt of an employee award when the information is of news interest and consistent with the public's right to know.

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

Storage

Magnetic tape and printed forms.

Retrievability

Employee name, area where employed, pay location, and district.

Safeguards

Physical security.

Retention and Disposal

- a. Incentive Award Files — Destroy 4 years from date of approval or disapproval.
- b. Length of Service Award Files — Destroy when 1 year old.
- c. Non-Postal Service awards — Destroy 2 years after date of award.
- d. Letter of Commendation and Appreciation (excluding copies filed in the OPF) — Destroy 2 years from date of letter.

System Manager(s) and Address:

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Notification Procedure

Employees wanting to know whether information about them is maintained in this system of records must address inquiries to the head of the facility where employed. Headquarters employees must submit requests to the system manager. Inquiries must contain full name and pay location.

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Information is obtained in summary printouts supplied to each area by Information Systems Service Centers.

USPS 120.110

System Name

Personnel Records — Pre-employment Investigation Records, 120.110

System Location

USPS Facilities, District Offices, Area Offices and National Headquarters; and site of USPS contractor (all records except laboratory reports containing drug test results and related medical records, which are maintained in Postal Service medical facilities and designee offices).

Categories of Individuals Covered by the System

Postal employees and applicants for employment.

Categories of Records in the System

Replies from former employers, local police records, military records, driving records, drug screening records including laboratory results, drug history records and other investigative reports used to determine suitability for employment. Other records filed with these are: Office of Personnel Management records (privacy system — OPM CENTRAL-9) compiled through a National Agency Check and Inquiry (NACI) and forwarded to the USPS for assistance in making a hiring decision.

Authority for Maintenance of the System

39 U.S.C. 410(b), 1001.

Purpose(s)

To determine suitability for employment.

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

With the exception noted below, general routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system.

Note: Only routine use b applies to drug screening records and laboratory results identified in the “Categories of Records in the System” section of this notice.

With the exception noted below, routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the prefatory statement at the beginning of the Postal Service’s published system notices apply to this system.

Note: Only routine use b applies to drug screening records and laboratory results identified in the “Categories of Records in the System” section of this notice.

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

Storage

Preprinted forms and correspondence.

Retrievability

Alphabetically by name.

Safeguards

Laboratory results of drug testing are stored in locked file cabinets under the supervision of medical personnel. Other information is stored in locked file cabinets accessible to those with an appropriate security clearance.

Retention and Disposal

- a. Retain for 5 years from the date the employee is initially found suitable for employment or 5 years from the date action was taken to deny or terminate employment. Send to the appropriate Federal Records Center (FRC) for an additional 5-year retention period.
- b. NACI reports are retained in the same fashion as local investigative records.

System Manager(s) and Address:

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Notification Procedure

- a. Local Investigative Records — Apply to the head of the postal facility where employed. Headquarters employees must submit requests to the system manager.
- b. OPM NACI Reports — Apply to the Office of Personnel Management as instructed by privacy system OPM/CENTRAL–9.

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 39 CFR 266.6.

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Information is obtained primarily from local police records, state driving records, military records, former employers, and drug test laboratory.

Systems Exempted From Certain Provisions of the Act

Reference 39 CFR 266.9 for details.

USPS 120.120

System Name

Personnel Records — Personnel Research and Test Validation Records, 120.120

System Location

Postal Service Headquarters, Washington, DC (paper records only); National Test Administration Center, Merrifield, VA, and contractor sites (paper and ADP records); and Information Systems Service Centers.

Categories of Individuals Covered by the System

Applicants for postal employment and Postal Service employee applicants for reassignment and/or promotion; current employees whose work records or solicited responses are involved in research projects.

Categories of Records in the System

Records are hard copy (paper, including scannable answer sheets) or ADP (magnetic tape, disk) and may contain the following information, depending on personnel research or test validation study: applicant and research subject demographic data, including race, sex, national origin, employment status, date of birth, and geographical location; and identification data, including name, Social Security number, or respondent identification code; project identification code, batch codes, information collection dates; applicant and research subject responses to, or evaluation on, personnel assessment instruments; applicant and research data and laboratory data and analysis about performance, work suitability, physical conditions, disciplinary incidents, awards, attendance, training, or other work-related data, when used with personnel research; and job analysis data, including respondent identification and evaluation of job activities and employee qualifications.

Authority for Maintenance of the System

39 U.S.C. 401, 1001.

Purpose(s)

To support research and development efforts in the construction and use of personnel assessment instruments (such as tests and performance evaluation forms); the analysis of employee behavior, characteristics, interests, attitudes, and physical condition affecting productivity; and the evaluation and improvement of personnel management practices. Data are collected when specific research projects are undertaken (such as pilot tryouts of personnel selection methods and job attitude surveys). Race and national origin data are used to evaluate any adverse impact of the selection process. Use of these race and national origin data is limited to research projects and test validation conducted by the Postal Service. No individual personnel decisions are made in the use of these research records. Many data are collected under conditions ensuring their confidentiality which will be protected. Personnel information in this system of records is used primarily by the personnel research staff of the U.S. Postal Service. Reports and analyses that result from use of this system, or use of this system in conjunction with system USPS 120.121, are based

on aggregated data, with no identification of the individuals involved.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, and l listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. To disclose information to the Equal Employment Opportunity Commission for use in determining the existence of adverse effects in the total selection process, in reviewing allegations of discrimination, or in assessing the status of compliance with federal law.
2. Disclosure of information about applicants for employment with the Postal Service may be made to the Selective Service System (SSS) under approved computer matching efforts in which either the Postal Service or SSS acts as the matching agency. Disclosure will be limited to only those data elements considered relevant to identify individuals eligible for registration under the Military Selective Service Act (50 U.S.C. App. 451 et seq.), to determine whether those individuals have complied with registration requirements, and to enforce compliance when necessary.

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

Storage

Paper files, magnetic tape, and disks.

Retrievability

Depending on the research project, employee name; Social Security number; batch number; or employee's date of examination, location, or respondent identification code.

Safeguards

These records are maintained in closed file cabinets in a secure facility. Access to computer data is restricted to authorized personnel.

Retention and Disposal

- a. Hard copy — Paper response forms (scannable answer sheets, booklets) are destroyed on transcription to magnetic media, usually within 6 months of collection.
- b. Magnetic Tape — Retention is dependent on the type of research project and is not to exceed 30 years — DO NOT TRANSFER TO A FEDERAL RECORDS CENTER.

System Manager(s) and Address:

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Notification Procedure

Persons wishing to know whether this system of records contains information on them should address inquiries to the head of the examination center of the facility that administered the test; in case of research studies involving information not

collected pursuant to an examination, persons should address inquiries to the manager of Employment and Placement. Inquiries should contain full name, Social Security number, date of examination or study, examination number or project name, and place of participation in the examination or study.

Record Access Procedures

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

Contesting Record Procedures

See Notification and Records Access Procedures above.

Record Source Categories

Applicants or research subjects, or others providing evaluations or work-related data on subjects as part of a research study. Other systems from which information is accessed include records relating to: Collection and Delivery, EEO, Finance, Inquiries and Complaints, Inspection Service, Job Evaluation, Personnel, Statistical Systems and Litigation.

Systems Exempted From Certain Provisions of the Act

Reference 39 CFR 266.9 for details.

USPS 120.121

System Name

Personnel Records — Applicant Race, Sex, National Origin, and Disability Status Records, 120.121

System Location

Postal Service National Test Administration Center, Merrifield, VA (paper and ADP records), and Postal Service Information Systems Service Centers.

Categories of Individuals Covered by the System

Applicants for Postal Service examinations, including Postal Service employees.

Categories of Records in the System

Individual's name, Social Security number, date of birth, lead office installation number, race, sex, national origin, and disability status data.

Authority for Maintenance of the System

39 U.S.C. 401, 101, and 5 U.S.C. 7201.

Purpose(s)

To provide the Postal Service with the ability to assess the impact of personnel selection decisions on applicants in each race, sex, national origin and disability category.

Note: These data are maintained only on those applicants who voluntarily provide it and under conditions assuring that the individual's self-identification as to race, sex, national origin, and disability status does not accompany that individual's application when it is under consideration by a selecting official. Data are collected via a research questionnaire on an applicant-by-applicant basis and are used to produce summary descriptive statistics and analytical

Appendix – Privacy Act Systems of Records

studies to evaluate personnel/organizational measurement and selection methods; to implement and evaluate Postal Service diversity programs; to determine any adverse impact on the overall personnel selection process; to identify categories of individuals for personnel research; and for related workforce studies.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, and l listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. To disclose information to the Equal Employment Opportunity Commission for use in determining the existence of adverse effects in the total selection process, in reviewing allegations of discrimination, or in assessing the status of compliance with federal law.
2. Disclosure may be made in response to the order of a court of competent jurisdiction.

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

Storage

Paper files, magnetic tape, and disks.

Retrievability

Name and Social Security number.

Safeguards

Records are kept in secure filing cabinets in a locked room. Access to automated data is restricted by computer passwords.

Retention and Disposal

- a. Hard copy — Destroy 6 months after processing.
- b. Magnetic Tape — Maintain for 30 years — DO NOT TRANSFER TO A FEDERAL RECORDS CENTER.
- c. Statistical Records (without individual identifiers) — Maintained for as long as needed for the purpose of conducting longitudinal studies.

System Manager(s) and Address:

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Notification Procedure

Individuals wanting to know whether this system of records contains information about them must address inquiries to the head of the examination center of the facility that administered the test. Inquiries must be written, signed, and contain full name, Social Security number, type of examination, examination number, and the date and place of participation in the examination.

Record Access Procedures

Requests for access must be made in accordance with the Notification Procedure above and the Postal Service Privacy

Act regulations regarding access to records and verification of identity under 39 CFR 266.6.

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Information is provided by applicants taking examinations.

USPS 120.130

System Name Personnel Records — Postmaster Selection Program Records, 120.130

System Location

Postal Service Customer Services District offices.

Categories of Individuals Covered by the System

Postal Service employees and external applicants desiring to be considered for appointment to a postmaster position.

Categories of Records in the System

Name, address, date of birth, Social Security number, education summary, postal background, other employment experience. Postal Inspector's Investigative Report and other relevant personal information.

Authority for Maintenance of the System

39 U.S.C. 401, 1001.

Purpose(s)

To provide Postal Service selecting officials and appointing officials with decision making information to determine the best-qualified candidates for appointment to postmaster positions.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, and l listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system.

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

Storage

Printed, typed, or handwritten forms.

Retrievability

Applicant's name and post office for which application was made.

Safeguards

Locked file cabinets in a secured facility with access restricted to authorized personnel.

Retention and Disposal

Postmaster vacancy files are retained in selecting official's organization for 2 years and then destroyed, unless an audit, investigation, or appeal is pending. Records are destroyed by shredding or burning.

System Manager(s) and Address:

VICE PRESIDENT
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Notification Procedure

Employees wishing to know whether this system of records contains information on them should address inquiries to the manager, Human Resources of the Customer Services District offices in which the application was made. Inquiries should contain full name, the postal facility to which application was made, title, and place of employment.

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Information is obtained from the employee, postal background personnel data, and from forms completed by the employee.

Systems Exempted From Certain Provisions of the Act

Reference 39 CFR 266.9 for details.

USPS 120.140

System Name

Personnel Records — Employee Assistance Program (EAP) Records, 120.140

System Location

EAP Offices, Headquarters, the Minneapolis Information Systems Service Center and certain contractor sites.

Categories of Individuals Covered by the System

Postal Service employees and immediate family members who volunteer for or are referred to the program, which is established primarily to help postal employees in their efforts to recover from alcohol and drug abuse, and other problems that may adversely affect their personal lives, job behavior, or performance.

Categories of Records in the System

Name of employee participant, personal information needed to assist in a program of recovery, information about referral, problem, progress, participation (number of counseling contacts and leave usage while a program participant), name

of referred family member, and name of community resource where referred. Demographic data collected on records subjects for statistical reporting contains marital status, ethnic group, gender, and age group.

Authority for Maintenance of the System

39 U.S.C. 401.

Purpose(s)

To provide counselors with information needed to maintain program operations and counsel individuals under the program. Also used as a management data source for statistical reporting on the program.

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

1. Records or information from this system may be disclosed to an expert, consultant, or other individual who is under contract to the Postal Service to fulfill an agency function, but only to the extent necessary to fulfill that function. This may include disclosure to any individual with whom the Postal Service contracts to reproduce by typing, photocopying, or other means any records for use by Postal Service officials in connection with their official duties or to any individual who performs clerical or stenographic functions relating to the official business of the Postal Service.
2. Records or information from this system may be made to medical personnel to the extent necessary to meet a medical emergency involving the participant.
3. Non-identifying records or information from this system may be disclosed to qualified personnel for purposes of research, audit, or program evaluation.

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

Storage

Paper files, magnetic tape/disk, and computer printouts.

Retrievability

Name, Social Security number, or case number of participant.

Safeguards

These restricted files are maintained in locked file cabinets with access limited to EAP personnel and in secured facilities. Automated records are protected through computer password security and encoding of personal identifiers.

Retention and Disposal

- a. Historical Record Cards — Destroy 25 years from the close of case to which card corresponds.
- b. Case Files:
 - (1) Deceased Persons — Destroy 1 year from date of cutoff;
 - (2) Persons successfully completing the program and persons dropped from the program for reasons of termination, retirement, or withdrawal or transfer — Destroy 3 years from date of cutoff;

Appendix – Privacy Act Systems of Records

- (3) Family member — Destroy 1 year from date of interview. DO NOT TRANSFER TO A FEDERAL RECORDS CENTER.

System Manager(s) and Address:

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Notification Procedure

Participants in the program must address inquiries to the head of the facility where participating. Inquiries must contain full name, Social Security number, and location of employment, if applicable. Headquarters employees must submit requests to the system manager.

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

The participating employee, family member referee, EAP counselor, and the referring source.

USPS 120.151

System Name

Personnel Records — Recruiting, Examining, and Appointment Records, 120.151

System Location

U.S. Postal Service personnel offices, the National Test Administration Center (NTAC), the Minneapolis Integrated Business Systems Solutions Center (MIBSSC), other offices within Postal Service facilities authorized to engage in recruiting or examining activities or to make appointments to positions, and contractor sites.

Categories of Individuals Covered by the System

Job applicants.

Categories of Records in the System

Personal and professional resumes, personal applications, test scores, medical assessments, academic transcripts, letters of recommendation, employment certifications, medical records, and registers of eligibles. Restricted medical records are accumulated by personnel offices prior to transmittal to medical facilities. The above records may contain such information as name of applicant, Post Office of application, Social Security number, date of examination, employment and education background, estimates of potential, and recommendations.

Authority for Maintenance of the System

39 U.S.C. 401, 1001.

Purpose(s)

To provide managers, personnel officials, and medical officers with information for recruiting and recommending appointment of qualified individuals.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system.

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

Storage

Paper files, index cards, magnetic tape, CD-ROM, preprinted forms and computer printed reports.

Retrievability

Job applicant name and/or Social Security number.

Safeguards

Paper records are maintained in closed filing cabinets under scrutiny of designated managers. Computer records are maintained in secured facilities.

Retention and Disposal

- a. Applications for Employment — Dispose of on expiration of eligibility, unless extended for an additional year at the request of the eligible individual.
- b. Applications for Master Instructor Positions — Destroy 3 years after date of selection.
- c. Employment Registers:
 - (1) Notice of Rating Card — Forward to applicant.
 - (2) Alpha and numeric Register Cards and computer-based register records — Destroy when 10 years old.
- d. Outside Applicant Files:
 - (1) Successful Applicant Files — Move PS Form 52 as appropriate, to the Official Personnel Folder. Dispose of all other forms and papers when 6 months old.
- e. Answer Sheets:
 - (1) Hard copy — Destroy 6 months after processing;
 - (2) Magnetic Tape — Maintain for 30 years — DO NOT TRANSFER TO FEDERAL RECORDS CENTER.

System Manager(s) and Address:

VICE PRESIDENT
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Notification Procedure

Individuals wanting to know whether information about them is maintained in this system of records must address inquiries to

the head of the facility to which job application was made. Inquiries must contain full name, Social Security number, and, if applicable, approximate date of application submitted and residence.

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Individual, school officials, former employers, supervisors, named references, Department of Veterans Affairs, and State Division of Vocational Rehabilitation Counselors.

Systems Exempted From Certain Provisions of the Act

Reference 39 CFR 266.9 for details.

USPS 120.152

System Name Personnel Records — Career Development and Training Records, 120.152

System Location

Management Training Centers and other facilities within the Postal Service where career development training and curriculum evaluation activities are authorized.

Categories of Individuals Covered by the System

Current and former postal employees.

Categories of Records in the System

Career development records, applications for and records of postal and nonpostal training, records containing student and manager evaluations of training received, examination and skills bank records, and scheme examination records (including dates of examination due and taken, and results). Information within these records may include name, Social Security number, special qualifications, skills or knowledge, career goals, education, work histories or summaries, nominations, recommendations, and copies of personnel actions, certificates, and other material contained within USPS 120.070. In addition, the system may contain postal lodging information when a discrepancy report is filed against the student regarding any unauthorized activities while occupying the room.

Authority for Maintenance of the System

39 U.S.C. 401, 1001.

Purpose(s)

To provide managers, supervisors, and training and development professionals with decision making information for employee career development, training, and assignment.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system.

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

Storage

Paper files, index cards, magnetic tape, punched cards, preprinted forms, and computer-printed reports.

Retrievability

Employee name and Social Security number.

Safeguards

Paper records are maintained in closed filing cabinets under scrutiny of designated managers. Computer records are maintained in secured facilities.

Retention and Disposal

- a. Management Training Program Records:
 - (1) Trainee's Individual Files — Destroy 5 years from the date trainee leaves the program;
 - (2) Trainee Travel Records — Destroy 1 year from date trainee leaves program;
 - (3) Travel files of postal managers in connection with program — dispose of when 1 year old.
- b. Nomination for Executive Leadership Files — Destroy 1 year from date of selection.
- c. Employee Training Files — Destroy 5 years from date of training.
- d. Case Examination Records — Destroy 1 year from date of separation of employee.
- e. Certain records of examinations are maintained as part of USPS 120.120, Personnel Records — Personnel Research and Test Validation Records.

System Manager(s) and Address:

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VICE PRESIDENT
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UNITED STATES POSTAL SERVICE
4301 WILSON BLVD STE 300
ARLINGTON VA 22203-1861

Notification Procedure

Current and former field employees wanting to know whether information about them is in this system of records must address inquiries to the head of the appropriate employment facility. Headquarters employees must submit requests to the system manager. Inquiries must contain full name and Social Security number.

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Information is obtained from the subject, subject's employment record, and his or her supervisor.

Systems Exempted From Certain Provisions of the Act

Reference 39 CFR 266.9 for details.

USPS 120.153

System Name

Personnel Records — Individual Performance Evaluation/Measurement, 120.153

System Location

Postal Service facilities where individual performance evaluation/measurement activities are conducted.

Categories of Individuals Covered by the System

Current and former postal employees.

Categories of Records in the System

Individual performance evaluation and measurement records that contain audit sheets, performance ratings, performance appraisals for PCES candidates, self-appraisals, statements of goals and objectives, and related correspondence.

Authority for Maintenance of the System

39 U.S.C. 401, 1001.

Purpose(s)

To provide managers and supervisors with decision making information for training needs, promotion and assignment considerations, or other employee/job related actions.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system.

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

Storage

Paper files, index cards, magnetic tapes, punched cards, preprinted forms, and computer-printed reports.

Retrievability

Employee name and Social Security number.

Safeguards

Paper records are maintained in closed filing cabinets under scrutiny of designated managers. Computer records are maintained in secured facilities.

Retention and Disposal

- a. Merit Performance Evaluation Files — Destroy when 5 years old.
- b. Individual Performance Evaluation/Measurement Records — Destroy when 10 years old or when no longer useful, whichever is sooner. DO NOT TRANSFER TO A FEDERAL RECORDS CENTER.

System Manager(s) and Address:

Vice President having jurisdiction over the functional or administrative performance evaluation/measurement procedure.

Notification Procedure

Current and former field employees wanting to know whether information is maintained about them in this system of records must address inquiries to the head of the appropriate employment facility. Headquarters employees must submit requests to the system manager. Inquiries must contain full name and Social Security number.

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Information is obtained from the subject, the subject's employment records, and his or her co-workers.

USPS 120.154

System Name

Personnel Records — Employee Survey Process System Records, 120.154

System Location

Human Resources at Headquarters and at a contractor site.

Categories of Individuals Covered by the System

Supervisors and managers who are rated under an employee survey process or have responsibility for a rated work location.

Categories of Records in the System

Work location, name, and Social Security number of manager or supervisor, aggregate data and analyses of data, and national feedback reports.

Authority for Maintenance of the System

39 U.S.C. 401, 1001.

Purpose(s)

To improve the quality of postal services, employee-management relations, and communication between managers and employees by soliciting employee feedback on job-related issues; to provide management and supervisors with information needed to improve their leadership skills; and to provide information for evaluating manager and supervisor performance.

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

General routine use statements b, f, and g listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system.

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

Storage

Paper and computer storage media.

Retrievability

Some survey information in the system is retrieved only by work location. Other information is retrieved by manager or supervisor name or Social Security number.

Safeguards

Hard copy records are maintained in a secured environment with access limited to those individuals whose official duties require such access. Access to automated records is restricted by authorized user identification codes. Information on computer storage media maintained at a contractor site is protected by ADP physical security, technical software, and administrative security subject to audit and inspection by the Postal Inspection Service.

Retention and Disposal

- a. Employee Opinion Survey Process Records — Retain for 20 years. Destroy paper records by shredding or burning. Destroy computer records by erasure or degaussing.
- b. Management Development Process Records:
 - (1) Paper Survey Feeder Records — Cut off at the end of the calendar year and destroy by shredding or burning 3 years from cutoff date.
 - (2) Computer Records — Retain for 20 years and then erase or degauss.

System Manager(s) and Address:

VICE PRESIDENT
 HUMAN RESOURCES
 UNITED STATES POSTAL SERVICE
 475 L'ENFANT PLZ SW
 WASHINGTON DC 20260-4200

Notification Procedure

Individuals wanting to know whether information about them is maintained in this system of records must address inquiries in writing to the system manager.

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Postal employees.

USPS 120.170

**System Name
 Personnel Records — Safe Driver Awards
 Records, 120.170**

System Location

Motor vehicle offices of postal facilities.

Categories of Individuals Covered by the System

Postal Service employees who are full-time drivers of postal vehicles.

Categories of Records in the System

Include employees' name, yearly safe driver awards, record of any accidents in which employee is involved, and evaluations by Safe Driver Award Committee.

Authority for Maintenance of the System

39 U.S.C. 401.

Purpose(s)

To provide information for awarding Safe Driver Awards.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

Another routine use is to furnish information to the National Safety Council for award purposes.

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

Storage

Index cards/roster sheets.

Retrievability

Alphabetically by name of employee.

Safeguards

Kept in closed file cabinets with limited access.

Retention and Disposal

Destroy 4 years from date of separation, expiration of license, rescission of authorization, or transfer of driver into a non-driving status, or other transfer (unless requested by new installation or agency).

System Manager(s) and Address:

VICE PRESIDENT
HUMAN RESOURCES
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-4200

Notification Procedure

Employees wanting to know whether information about them is maintained in this system of records must address inquiries to the head of the facility where employed. Headquarters employees must submit the request to the system manager. Inquiries must include full name.

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Information is obtained from the driver and from Postal Service.

USPS 120.180

System Name

Personnel Records — Skills Bank (Human Resources Records), 120.180

System Location

Maintained by various postal facilities, as determined by management.

Categories of Individuals Covered by the System

Different categories of Postal Service employees, women, PCES, and employees in various job categories.

Categories of Records in the System

Employee name, Social Security number, address, job position, sex, educational background, work history, salary history, skills, licenses, language, career preferences and goals, geographical preferences, special achievements, merit awards, project assignments, benefits, and other personal information. (The various systems in existence may contain more or less information than specified herein.)

Authority for Maintenance of the System

Public Law 92-261; 39 U.S.C. 401, 1001.

Purpose(s)

Used by Postal Service management to make and track employee job assignments, to place employees in new positions, and to assist in career planning and training in general; the system is also used to provide statistics for personnel and workload management.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system.

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

Storage

Preprinted forms, magnetic tape and disk files, computer reports, and microfiche.

Retrievability

Name and Social Security number.

Safeguards

Locked file cabinets, controlled access, computer password authentication, magnetic tape library, physical security.

Retention and Disposal

Paper records will be destroyed by shredding or burning 1 or 2 years after information is successfully entered into the system depending on the particular program involved. Automated information will be erased 1 year after employee is terminated or is no longer in the particular job category.

System Manager(s) and Address:

VICE PRESIDENT
HUMAN RESOURCES
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-4200

CHIEF POSTAL INSPECTOR
POSTAL INSPECTION SERVICE
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-2100

Notification Procedure

Employees wanting to know whether such a system exists at their place of employment or whether information about them is maintained in this system of records must address inquiries to the head of the facility where employed. Headquarters employees must submit requests to the system manager. Inquiries must contain full name, Social Security number, and place of employment.

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Information is obtained directly from employee and Postal Service personnel forms and reports.

Systems Exempted From Certain Provisions of the Act

The Postal Service has claimed exemption from certain provisions of the Act for several of its other systems of records as permitted by 5 U.S.C. 552a(j) and (k). See 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 must continue to apply to the incorporated records.

USPS 120.190

System Name Personnel Records — Supervisors' Personnel Records, 120.190

System Location

Any Postal Service facility.

Categories of Individuals Covered by the System

Postal Service employees.

Categories of Records in the System

Records consist of summaries or excerpts from the following other Postal Service personnel records systems: 120.036, 120.070, 120.151, 120.152, 120.153, 120.180, 120.210; as well as records of discipline. In addition, copies of other Postal Service records and records originated by the supervisor may be included at the supervisor's discretion.

Authority for Maintenance of the System

39 U.S.C. 401, 1001.

Purpose(s)

To enable supervisors to efficiently manage assigned personnel.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system.

Records of discipline may also become part of USPS 120.070 and would therefore be subject to disclosure under the routine uses of that system of records.

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

Storage

Paper files, index cards, magnetic tape and disk, computer printouts.

Retrievability

Employee name.

Safeguards

Paper documents/index cards are locked in supervisor's desk or filing cabinets. Computer-readable media are maintained in secured data processing facilities.

Retention and Disposal

- a. Counseling Records — Destroy when 1 year old if there has been no disciplinary action initiated against the employee during that period.
- b. Letters of Warning — Destroy when 2 years old if there has been no disciplinary action initiated against the employee during that period.
- c. All Other Records — Dispose of immediately on termination of supervisor/employee relationship.

System Manager(s) and Address:

VICE PRESIDENT
HUMAN RESOURCES
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-4200

Notification Procedure

Employees wanting to know whether this system of records contains information on them must address inquiries to the head of the facility where employed. Headquarters employees must submit requests to the system manager.

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Other personnel records systems, supervisor notes, employees, and postal customers.

Systems Exempted From Certain Provisions of the Act

Records of information in this system that have been compiled in reasonable anticipation of civil action or proceedings are exempt from individual access under 5 U.S.C. 552a(d)(5). In addition, the Postal Service has claimed exemption from certain provisions of the Act for several of its other systems of records as permitted by 5 U.S.C. 552a(j) and (k). See 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 must continue to apply to the incorporated records.

USPS 120.210

System Name

Personnel Records — Vehicle Maintenance Personnel and Operators Records, 120.210

System Location

Postal Service vehicle maintenance facilities, processing and distribution centers, bulk mail centers, Post Offices, area offices, district offices, Headquarters, and program contractor's office.

Categories of Individuals Covered by the System

Current and former postal employees who operate or maintain postal vehicles, including those employees required to have commercial driver's licenses (CDLs) and who drive vehicles in excess of 26,000 pounds gross vehicle weight rating (GVWR).

Categories of Records in the System

Records relating to individual employee operation of USPS-owned or USPS-leased vehicles, including employee name, Social Security number, age, length of service, physical condition, qualifications to drive, results of driving tests, vehicle and safety training, licensing information (including revocations and suspensions), driving habits, route and vehicle assignments, vehicle accidents, driving citations and safety awards, notifications of substance and alcohol tests with related checklists and correspondence; employee workload, work schedule, performance analysis, and work habits.

Authority for Maintenance of the System

39 U.S.C. 401; Pub. L. 102-143; and 49 CFR 40 and 382, 391, 392, 395.

Purpose(s)

- a. To provide local Post Office managers, supervisors, and transportation managers with information to assign routes and vehicles and to adjust workload, schedules, and type of equipment operated.
- b. To serve as a basis for corrective action and presentation of safe driving awards.
- c. To comply with the testing and documentation requirements of the Omnibus Transportation Employee Testing Act of 1991 (Pub. L. 102-143) implementing a controlled substance and alcohol testing program for employees required to have commercial driver's licenses (CDLs).

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

General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Information in these records provides GSA and Postal Service driver credentials.
2. Information in these records may be provided to the contractor responsible for maintaining the database of employees to be selected randomly for controlled substance and alcohol testing.
3. Information in these records may be provided to the Federal Highway Administration (FHWA), when

requested by the Secretary of Transportation; to any U.S. Department of Transportation agency; or to any state or local official with regulatory authority over the Postal Service or its employees (as authorized by DOT agency regulations).

4. Information in these records may be provided to the National Transportation Safety Board in conjunction with an accident investigation.
5. Information in these records may be provided to the employee or to the decision maker in a lawsuit, grievance, or other proceeding initiated by or on behalf of the employee and arising from the results of a controlled substance and/or alcohol test administered under the regulations issued by DOT or from a determination that the employee engaged in conduct prohibited by Pub. L. 102-143.

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

Storage

Preprinted forms and paper files (including hard copy computer printouts) and computer files.

Retrievability

Employee name, Social Security number, vehicle number, route number, facility name, and work order number.

Safeguards

Kept in locked file cabinets in secured Postal Service and contractor facilities. Access to computer data is restricted to authorized contractor personnel.

Retention and Disposal

- a. Destroy the records related to the employee's random selection for controlled substance and alcohol testing when the records are 1 year old.
- b. Destroy the checklists, correspondence, and any other documentation related to the employee's testing for controlled substances and alcohol when the records are 5 years old.
- c. Destroy records maintained in the database of employees subject to Pub. L. 102-143 when the employee separates from the Postal Service or is no longer authorized to operate a Postal Service vehicle.
- d. Destroy the remaining records related to the employee's operation or maintenance of Postal Service vehicles 4 years from the date of separation, transfer (unless requested by new installation or agency), expiration of license, rescission of authorization, or transfer of driver into a non-driving status.

System Manager(s) and Address:

VICE PRESIDENT
OPERATIONS SUPPORT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-2402

Notification Procedure

An employee wanting to know whether information about him or her is maintained in this system of records must address inquiries to the head of the facility where the employee is employed. Inquiries must contain the employee's full name, Social Security number, route number, workstation, and facility where employed.

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Postal Service employees, supervisors, and medical staff; state motor vehicle departments; and designated contractor(s).

Systems Exempted From Certain Provisions of the Act

Records or information in this system that have been compiled in reasonable anticipation of a civil action or proceeding are exempt from individual access under 5 U.S.C. 552a(d)(5). In addition, the Postal Service has claimed exemption from certain provisions of the Act for several of its other systems of records as permitted by 5 U.S.C. 552a(j) and (k). See 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 must continue to apply to the incorporated records.

USPS 120.220

System Name

Personnel Records — Arbitration Case Files, 120.220

System Location

Law Department, Postal Service Headquarters and field offices, area offices, and districts.

Categories of Individuals Covered by the System

Employees involved in labor arbitrations.

Note: These files are a Privacy Act system of records only to the extent that personally identifying information about a person is retrieved from the files by use of the individual's name or other personal identifier. Generally, information in litigation files is retrieved by reference to the case name or number. In those instances where the case name or number is not the personal identifier of an individual, the file is not a Privacy Act system of records.

Categories of Records in the System

Documents relating to proceedings when the Postal Service is a party in labor arbitration cases. Includes disciplinary and contract grievances, and appeals of bargaining unit employees, formal pleadings and memoranda of law, excerpts from grievance files, supporting documents, notes, and case analyses prepared by Postal Service advocates and other personnel, and correspondence and telephone records.

Authority for Maintenance of the System

39 U.S.C. 401, 409(d).

Purpose(s)

To provide advice and representation to the Postal Service in labor arbitration cases.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Information in litigation records is public to the extent that the documents have been filed in a court or public administrative proceeding, unless the court or other adjudicative body has ordered otherwise. Such public information, including information about the nature, status, and disposition of the proceedings, may be disclosed to any individual, unless it is determined that release of specific information of a particular case would be an unwarranted invasion of personal privacy.
2. When considered appropriate, records in this system may be referred to a bar association or similar federal, state, or local licensing or regulatory authority for possible disciplinary action.
3. A record may be transferred, and information from it disclosed, to any federal agency, as may be appropriate for the coordinated defense or prosecution of related litigation or the resolution of related claims or issues without litigation.
4. A record may be disclosed in a federal, state, local, or foreign judicial or administrative proceeding in accordance with the procedures and practices governing such proceeding.

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

Storage

Case records are stored in paper folders and on magnetic tape or disk in automated office equipment.

Retrievability

Name of litigant(s).

Safeguards

Folders having paper documents are kept in secure filing cabinets within locked buildings or areas under the scrutiny of authorized personnel. Computer terminals and tape/disk files are in a secured area, and access is restricted to personnel having an official need.

Retention and Disposal

- a. Disciplinary Cases (to include removal) and contract application cases:
 - (1) National Level — Destroy 15 years from date of final decision;
 - (2) Field Level — Destroy 5 years from date of final decision.
- b. Contract Interpretation Cases (National Level) — Transfer to a Federal Records Center when 5 years old, destroy 15 years from date of expiration of the agreement.
- c. Court Actions — Transfer to a Federal Records Center when 5 years old, destroy 15 years from date of final agreement.

Appendix – Privacy Act Systems of Records

System Manager(s) and Address:

VICE PRESIDENT
LABOR RELATIONS
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-4100

Notification Procedure

Individuals wanting to determine whether this system of records contains information about them must write to the system manager and provide name, case number, if known, and the approximate date the action was initiated.

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Note: Review of requests seeking amendment of records that have been the subject of a judicial or quasi-judicial administrative action will be limited. The amendment provisions of the Act are not intended to permit the alteration of evidence presented during an adjudication, nor are they intended to provide a means for collaterally attacking the finality of a judicial or administrative decision. Review of requests for amendment of adjudicative records will be restricted to determining whether the records accurately reflect the action of the judicial or administrative body ruling on the case and will not contain a review of the merits of the action, determination, or finding.

Record Source Categories

- a. Employees involved in labor arbitration cases.
- b. Counsel(s) or other representative(s) for parties involved in the arbitration case other than Postal Service.
- c. Arbitrators.
- d. Other individuals involved in labor arbitration cases.

Source documents contain the formal case file, investigative reports, and other records relevant to the case.

Systems Exempted From Certain Provisions of the Act

Records or information in this system that have been compiled in reasonable anticipation of a civil action or proceeding are exempt from individual access under 5 U.S.C. 552a(d)(5). In addition, the Postal Service has claimed exemption from certain provisions of the Act for several of its other systems of records as permitted by 5 U.S.C. 552a(j) and (k). See 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 must continue to apply to the incorporated records.

USPS 120.230

System Name Personnel Records — Adverse Action Appeals (Administrative Litigation Case Files), 120.230

System Location

Law Department, Postal Service Headquarters and field offices, area offices and districts.

Categories of Individuals Covered by the System

Employees involved in Veterans' Appeals and other adverse action appeals.

Note: These files are a Privacy Act system of records only to the extent that personally identifying information about a person is retrieved from the files by use of the individual's name or other personal identifier. Generally, information in litigation files is retrieved by reference to the case name or number. In those instances where the case name or number is not the personal identifier of an individual, the file is not a Privacy Act system of records.

Categories of Records in the System

- a. Formal pleadings and memoranda of law;
- b. Excerpts from disciplinary or adverse action files and other relevant documents;
- c. Miscellaneous notes and case analyses prepared by Postal Service advocates; and
- d. Correspondence and telephone records.

Authority for Maintenance of the System

39 U.S.C. 401, 409(d).

Purpose(s)

This information is used to provide advice and representation to the Postal Service.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Information in litigation records is public to the extent that the documents have been filed in a court or public administrative proceeding, unless the court or other adjudicative body has ordered otherwise. Such public information, including information about the nature, status, and disposition of the proceedings, may be disclosed to any individual, unless it is determined that release of specific information of a particular case

- would amount to an unwarranted invasion of personal privacy.
2. When considered appropriate, records in this system may be referred to a bar association or similar federal, state, or local licensing or regulatory authority for possible disciplinary action.
 3. A record may be transferred, and information from it disclosed to any federal agency, as may be appropriate for the coordinated defense or prosecution of related litigation or the resolution of related claims or issues without litigation.
 4. A record may be disclosed in a federal, state, local, or foreign judicial or administrative proceeding under the procedures and practices governing such proceeding.

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

Storage

Case records are stored in paper folders and on magnetic tape or disk in automated office equipment.

Retrievability

Name of litigant(s).

Safeguards

Folders having paper documents are kept locked in filing cabinets within secured buildings or areas under the scrutiny of authorized personnel. Computer terminals are in secured areas, and access is restricted to personnel having an official need.

Retention and Disposal

Destroy 7 years from the date of final decision.

System Manager(s) and Address:

VICE PRESIDENT
LABOR RELATIONS
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-4200

Notification Procedure

Individuals wanting to determine whether this system of records contains information about them must write to the system manager and provide their name, case number, if known, and the approximate date the action was instituted.

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Note: Review of requests seeking amendment of records that have been the subject of a judicial or quasi-judicial administrative action will be limited. The amendment provisions of the Act are not intended to permit the alteration of evidence presented during an adjudication, nor are they intended to provide a means for collaterally attacking the finality of a judicial or administrative decision. Review of requests for amendment of adjudicative records will be restricted to determining whether the records accurately reflect the action of the judicial or administrative body ruling on the

case, and will not contain a review of the merits of the action, determination, or finding.

Record Source Categories

- a. Employees involved in veterans appeals and other adverse action appeals.
- b. Counsel(s) or other representative(s) for parties in administrative litigation other than Postal Service.
- c. Other individuals involved in appeals.

Source documents contain the formal case file, investigative reports, and other records relevant to the case.

Systems Exempted From Certain Provisions of the Act

Records or information in this system that have been compiled in reasonable anticipation of a civil action or proceeding are exempt from individual access under 5 U.S.C. 552a(d)(5). In addition, the Postal Service has claimed exemption from certain provisions of the Act for several of its other systems of records as permitted by 5 U.S.C. 552a(j) and (k). See 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 must continue to apply to the incorporated records.

USPS 120.240

System Name

Personnel Records — Garnishment Case Files, 120.240

System Location

Personnel Offices within Postal Service facilities and the Minneapolis Information Systems Service Center.

Categories of Individuals Covered by the System

Employees whose wages are garnished to satisfy a financial obligation.

Categories of Records in the System

Employee name, Social Security number, address, employing facility, name and address of the recipient of the deduction, amount of the debt and deduction, and other data relevant to the garnishment of an employee's wages in payment of alimony, child support, or commercial debt, or state or local tax levies. Records in case files may also contain notices to employee of the intent to withhold wages, court orders, worksheets for calculating or processing garnishments, and other correspondence/documents relating to the indebtedness.

Authority for Maintenance of the System

39 U.S.C. 401, 409(d).

Purpose(s)

To process garnishment of a postal employee's wages to satisfy a debt related to child support, alimony, a commercial obligation, or a state or local tax levy.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the prefatory statement at the beginning of the

Appendix – Privacy Act Systems of Records

Postal Service's published system notices apply to this system.

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

Storage

Paper documents and computer tape/disk.

Retrievability

Employee name.

Safeguards

Paper and automated records are subject to controlled access.

Retention and Disposal

Information Service Center records are maintained for 6 months after the debt is satisfied or canceled. Post Office records are maintained for 3 years after the debt is satisfied or canceled. Paper records are shredded and computer tape/disk records are erased at the end of retention period.

System Manager(s) and Address:

VICE PRESIDENT
HUMAN RESOURCES
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-4200

VICE PRESIDENT CONTROLLER
FINANCE
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-5200

Notification Procedure

Employees wanting to know whether this system of records contains information about them must submit requests to the facility head where employed. Headquarters employees must submit requests to the system manager. Inquiries must contain the employee's full name and case number, if known.

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

The indebted employee, court-related documents, and other records relating to the debt.

USPS 150.010 System Name Records and Information Management Records — Information Disclosure Accounting Records (Freedom of Information Act), 150.010

System Location

Records office, Postal Service Headquarters, and records custodians at all Postal Service facilities.

Categories of Individuals Covered by the System

Individuals who submit inquiries and requests for information (many of which are made pursuant to the FOIA) about the general activities of the Postal Service.

Note: This system may contain inquiries and requests regarding information in other Postal Service systems of records that are subject to the Privacy Act. As a result, information about individuals from other systems may, when appropriate, become part of this system.

Categories of Records in the System

Name and address of requester, request letters, referral letters, internal memoranda, response letters, and copies of records requested.

Authority for Maintenance of the System

39 U.S.C. 401, 412; 5 U.S.C. 552; Pub. L. 93-502.

Purpose(s)

To enable records custodians to respond to requests from members of the public for Postal Service records and to comply with the reporting requirements of the FOIA.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Records or information may be provided to any source from which the Postal Service requests additional information (to the extent necessary to identify the requesting individual, inform the source of the purpose of the request, or to identify the type of information requested), where necessary to obtain information relevant to the Postal Service's disclosure determination under the FOIA.
2. Records or information may be provided to the originating federal agency in connection with a referral of an FOIA request to that agency for its disclosure determination.

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

Storage

Case records are stored in paper folders. Response letters may also be temporarily stored on magnetic disk in automated office equipment. Abbreviated or summarized information may be stored in automated equipment.

Retrievability

Chronologically by year and alphabetically by name of the requester, except in those instances where a requester has made his or her request through an attorney or agent. In the latter case, the name of the attorney or agent might appear as the requester.

Safeguards

Case files and magnetic disks are stored in secure file cabinets. Computer access is restricted by the use of

passwords. Access to all storage media is limited to personnel whose official duties require access.

Retention and Disposal

Records maintained by custodians and the Records Office are disposed of 6 years from date of final response to requester. Files may be transferred to Postal Service general counsel (FOIA appeals officer) on request. When this is done, files may become a part of the Appeals Case Files (see USPS 150.015).

System Manager(s) and Address:

MANAGER
ADMINISTRATION AND FOIA
FINANCE
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-5202

Notification Procedure

Individuals wanting to know whether information about them is maintained in this system of records must address inquiries to the custodian at the facility where the request was sent. Inquiries must contain the full name of the individual who submitted the request or the name of the attorney who submitted the request in the individual's behalf and the date of the request.

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Individuals and their attorneys who submit information/records requests, Postal Service officials who respond to the requests, other sources whom the Postal Service believes have information pertinent to a decision on the request, other agencies referring requests to the Postal Service, and pertinent records responsive to the request.

Systems Exempted From Certain Provisions of the Act

Records or information in this system that have been compiled in reasonable anticipation of a civil action or proceeding are exempt from individual access under 5 U.S.C. 552a(d)(5). In addition, the Postal Service has claimed exemptions from certain provisions of the Act for several of its other systems of records as permitted by 5 U.S.C. 552a(j) and (k). See 39 CFR 266.9. To the extent that copies of exempt records from those other systems are incorporated into this system, the exemptions applicable to the original primary system must continue to apply to the incorporated records.

USPS 150.015

System Name

Records and Information Management Records — Freedom of Information Act Appeals and Litigation Records, 150.015

System Location

Civil Practice Section, Law Department, Postal Service Headquarters.

Categories of Individuals Covered by the System

The system encompasses all individuals who submit administrative appeals or bring suits against the Postal Service under the FOIA on account of denials of access to records maintained by the Postal Service. This system may contain inquiries and requests regarding information in other Postal Service systems of records that are subject to the Privacy Act. As a result, information about individuals from other systems may, when appropriate, become part of this system.

Note: These files are a Privacy Act system of records only to the extent that personally identifying information about an individual is retrieved from the files by use of the individual's name or other personal identifier. Generally, information in litigation files is retrieved by reference to the case name or number. In those instances where the case name or number is not the personal identifier on an individual, the file is not a Privacy Act system of records.

Categories of Records in the System

The system contains correspondence and other documents related to administrative appeals made by individuals to the General Counsel for information under the provisions of the FOIA (5 U.S.C. 552) including copies of appeal letters, appeal decisions, initial request and decision letters, internal memoranda, referral letters, and copies of records requested under the FOIA. Litigation case files may contain the aforementioned types of records as well as pleadings, memoranda of law, notes and case analyses prepared by attorneys and other personnel, and other documents incidental to the litigation.

Authority for Maintenance of the System

5 U.S.C. 552.

Purpose(s)

To enable the General Counsel to carry out his or her duties as appellate authority, to assist in the representation of the Postal Service in FOIA-related litigation, and to comply with the reporting requirements of the FOIA.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Records or information may be provided to the U.S. Department of Justice for its coordination of responses to requests for information and to prepare reports required by 5 U.S.C. 552(d).
2. Records or information may be provided to a federal agency in order to obtain advice and recommendation about matters on which the agency has specialized experience or particular competence that may be useful to the Postal Service in making required determinations under the FOIA.
3. Records or information may be provided to any source from which the Postal Service requests additional information (to the extent necessary to identify the requesting individual, inform the source of the purpose of the request, or to identify the type of information requested), where necessary to obtain information relevant to the Postal Service disclosure determination under the FOIA.

Appendix – Privacy Act Systems of Records

4. Records or information may be provided to the originating federal agency in connection with a referral of an FOIA request to that agency for its disclosure determination.
5. Appeal decision letters may be made available for public inspection and copying.
6. Information in litigation records is public to the extent that the documents have been filed in a court or public administrative proceeding, unless the court or other adjudicative body has ordered otherwise. Such public information, including information about the nature, status, and disposition of the proceeding, may be disclosed to any individual, unless it is determined that release of specific information in a particular case would be an unwarranted invasion of personal privacy.
7. When considered appropriate, records in this system may be referred to a bar association or similar federal, state, or local licensing or regulatory authority for possible disciplinary action.

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

Storage

Appeal and litigation case records are stored in paper folders. Appeal decision letters are also stored in binders and on magnetic tape or disk in automated office equipment and are maintained for public inspection in the Postal Service Library. Abbreviated or summarized information is stored on index cards and in automated equipment.

Retrievability

Chronologically by year, numerically by appeal number, and alphabetically by name of the requester except in those instances where a requester has an appeal filed in his or her behalf by an attorney or agent. In the latter case, the name of the attorney or agent might appear as the requester appellant. Litigation case records are retrieved by the style of the civil action.

Safeguards

Appeal and litigation case files are stored in sound file cabinets under the scrutiny of Postal Service attorneys. Access is limited to personnel whose official duties require access. Library copies of appeal decision letters are available for public inspection. Access to computer data is restricted to people having an official need for access.

Retention and Disposal

Appeal decision letters are retained indefinitely. Appeal and litigation case files are retained for 10 years following the date of the final agency decision or 10 years following the final adjudication in case of a civil suit, whichever is applicable. Records are destroyed by shredding, burning, or the equivalent.

System Manager(s) and Address:

SENIOR VICE PRESIDENT AND GENERAL COUNSEL
LAW DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-1100

Notification Procedure

Individuals wanting to determine whether this system of records contains information about them must write to the system manager and provide the following information: the name of the individual who submitted the appeal, or the name

of the attorney who submitted the appeal in the individual's behalf, and the year in which the appeal was made; or, when applicable, the name of the plaintiff in the civil action and the year in which the civil action was filed.

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Note: Review of requests seeking amendment of records that have been the subject of a judicial or quasi-judicial administrative action will be limited in scope. The amendment provisions of the Act are not intended to permit the alteration of evidence presented during an adjudication, nor are they intended to provide a means for collaterally attacking the finality of a judicial or administrative decision. Review of requests for amendment of adjudicative records will be restricted to determining whether the records accurately reflect the action of the judicial or administrative body ruling on the case and will not contain a review of the merits of the action, determination, or finding.

Record Source Categories

Individuals and their attorneys who submit FOIA requests and appeals, Postal Service officials who respond to FOIA requests, other sources whom the Postal Service believes have information pertinent to a decision on the FOIA request or appeal, other agencies referring requests to the Postal Service, and pertinent records from other Postal Service systems of records.

Systems Exempted From Certain Provisions of the Act

Records or information in this system that have been compiled in reasonable anticipation of a civil action or proceeding are exempt from individual access under 5 U.S.C. 552a(d)(5). In addition, the Postal Service has claimed exemption from certain provisions of the Act for several of its other systems of records as permitted by 5 U.S.C. 552a(j) and (k). See 39 CFR 266.9. To the extent that copies of exempt records from those other systems are incorporated into this system, the exemptions applicable to the original primary system must continue to apply to the incorporated records.

USPS 150.020

System Name Records and Information Management Records — Information Disclosure Accounting Records (Privacy Act), 150.020

System Location

Records office, Postal Service Headquarters, and records custodians at all Postal Service facilities.

Categories of Individuals Covered by the System

Any Postal Service employee or citizen who makes an inquiry or request for information or amendment of a record subject to the provisions of the Privacy Act of 1974 (5 U.S.C. 552a).

Note: This system may contain inquiries and requests regarding information in other Postal Service systems of records that are subject to the Privacy Act. As a result, information about individuals from other systems may, when appropriate, become part of this system.

Categories of Records in the System

Name and address of inquirer, other personal identifying information such as Social Security number and date of birth, request letters, referral letters, internal memoranda, response letters, accountings of disclosure, and copies of records at issue.

Authority for Maintenance of the System

39 U.S.C. 401; 5 U.S.C. 552a.

Purpose(s)

To enable records custodians to respond to requests from employees or members of the public for records the Postal Service maintains under the provisions of the Privacy Act, and to comply with reporting requirements of that Act.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Records or information may be provided to any source from which the Postal Service requests additional information (to the extent necessary to identify the requesting individual, inform the source of the purpose of the request, or to identify the type of information requested), where necessary to obtain information relevant to a Postal Service decision about a Privacy Act request.
2. Records may be disseminated to a federal agency that originally furnished the records for the purpose of permitting a decision on access or correction to be made by that agency, or for the purpose of consulting with that agency about the propriety of access or correction.
3. Records or information may be disseminated to any appropriate federal, state, local, foreign agency, or other appropriate source for the purpose of verifying the accuracy of information that is the subject of an individual's request for amendment or correction.

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

Storage

Case records are stored in paper folders. Response letters may also be temporarily stored on magnetic disk in automated office equipment. Abbreviated or summarized information may be stored in automated equipment.

Retrievability

Chronologically by year and alphabetically by name of the requester, except in those instances where a requester has made his or her request through an attorney or agent. In the latter case, the name of the attorney or agent might appear as the requester.

Safeguards

Case files and magnetic disks are stored in secure file cabinets. Computer access is restricted by the use of passwords. Access to all storage media is limited to personnel whose official duties require access.

Retention and Disposal

Request letters and related correspondence are retained for 6 years. Accountings of disclosures are retained for 5 years or the life of the disclosed record, whichever is longer. All records are destroyed by burning or shredding.

System Manager(s) and Address:

MANAGER
ADMINISTRATION AND FOIA
FINANCE
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-5202

Notification Procedure

Individuals wanting to know whether information about them is maintained in this system of records must address inquiries to the custodian at the facility where request was sent. Inquiries must contain the full name of the individual who submitted the request, or the name of the attorney who submitted the request in the individual's behalf, and the date of the request.

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Individuals and their attorneys who submit amendment/records requests, Postal Service officials who respond to the requests, other sources whom the Postal Service believes have information pertinent to a decision on the request, other agencies referring requests to the Postal Service, and pertinent records responsive to the requests.

Systems Exempted From Certain Provisions of the Act

Records or information in this system that have been compiled in reasonable anticipation of a civil action or proceeding are exempt from individual access under 5 U.S.C. 552a(d)(5). In addition, the Postal Service has claimed exemption from certain provisions of the Act for several of its other systems of records as permitted by 5 U.S.C. 552a(j) and (k). See 39 CFR 266.9. To the extent that copies of exempt records from those other systems are incorporated into this system, the exemptions applicable to the original primary system must continue to apply to the incorporated records.

USPS 150.025

System Name

Records and Information Management Records — Privacy Act Appeals and Litigation Records, 150.025

System Location

Civil Practice Section, Law Department, Postal Service Headquarters.

Categories of Individuals Covered by the System

The system encompasses all individuals who submit administrative appeals or bring suit against the Postal Service under the provisions of the Privacy Act of 1974.

Note: This system may contain inquiries and requests regarding information in other Postal Service systems of records that are subject to the Privacy Act. As a result, information about individuals from other systems may, when appropriate, become part of this system.

Categories of Records in the System

The system contains correspondence and other documents related to administrative appeals made by individuals to the General Counsel for information under the provisions of the Privacy Act (5 U.S.C. 552a) including copies of appeal letters, appeal decisions, initial request and decision letters, internal memoranda, referral letters, and copies of the records at issue. Litigation case files may contain the aforementioned types of records as well as pleadings, memoranda of law, notes and case analyses prepared by attorneys and other personnel, and other documents incidental to the litigation.

Authority for Maintenance of the System

5 U.S.C. 552a.

Purpose(s)

To enable the general counsel to carry out his or her duties as appellate authority, to assist in the representation of the Postal Service in Privacy Act litigation, and to comply with reporting requirements.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Records or information may be provided to the U.S. Department of Justice for its coordination of responses to requests for information and to prepare reports required by 5 U.S.C. 552a(s).
2. Records or information may be provided to a federal agency in order to obtain advice and recommendation about matters in which the agency has specialized experience or particular competence that may be useful to the Postal Service in making required determinations under the Privacy Act.
3. Records or information may be provided to any source from which the Postal Service requests additional information (to the extent necessary to identify the requesting individual, inform the source of the purpose of the request, or to identify the type of information

requested), where necessary to obtain information relevant to the Postal Service decision about Privacy Act request.

4. Records may be disseminated to a federal agency that originally furnished the records for the purpose of permitting a decision on access or correction to be made by that agency or for the purpose of consulting with that agency about the propriety of access or correction.
5. Records or information may be disseminated to any appropriate federal, state, local, foreign agency, or other appropriate source for the purpose of verifying the accuracy of information that is the subject of an individual's request for amendment or correction.
6. Information in litigation records is public to the extent that the documents have been filed in a court or public administrative proceeding, unless the court or other adjudicative body has ordered otherwise. Such public information, including information about the nature, status, and disposition of the proceeding, may be disclosed to any individual, unless it is determined that release of specific information in a particular case would be an unwarranted invasion of personal privacy.
7. When considered appropriate, records in this system may be referred to a bar association or similar federal, state, or local licensing or regulatory authority for possible disciplinary action.

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

Storage

Appeal and litigation case records are stored in paper folders. Appeal decision letters are also stored in binders and on magnetic tape or disk in automated office equipment. Abbreviated or summarized information is stored on index cards and in automated equipment.

Retrievability

Chronologically by year, numerically by appeal number, and alphabetically by name of the requester, except in those instances where a requester has an appeal filed in his or her behalf by an attorney or agent. In the latter case, the name of the attorney or agent might appear as the requester appellant. Litigation case records are retrieved by the style of the civil action.

Safeguards

Appeal and litigation case files are stored in secure file cabinets under the scrutiny of Postal Service attorneys. Access to paper records and computer data is limited to individuals whose official duties require access.

Retention and Disposal

Appeal decision letters are retained indefinitely. Appeal and litigation case files are retained for 10 years following the date of the final agency decision, or 10 years following the final adjudication in case of a civil suit, whichever is applicable. Records are destroyed by shredding, burning, or the equivalent.

System Manager(s) and Address:

SENIOR VICE PRESIDENT AND GENERAL COUNSEL
LAW DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-1100

Notification Procedure

Individuals wanting to determine whether this system of records contains information about them should write to the system manager and provide the following information: the name of the individual who submitted the appeal, or the name of the attorney who submitted the appeal in the individual's behalf, and the year in which the appeal was made, or, when applicable, the name of the plaintiff in the civil action and the year in which the civil action was filed.

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Note: The amendment provisions for this system are not intended to permit a person a second opportunity to request amendment of a record that was the subject of the initial Privacy Act amendment request merely because the record has been incorporated into this system as a result of the appeal process. That is, after an individual has requested amendment of a specific record in a Postal Service system under provisions of the Privacy Act, that specific record may itself become part of this system of case records. A person may not subsequently request amendment of that specific record again simply because a copy of the record has become part of the second system of records. Generally, review of requests seeking amendment of records that have been the subject of a judicial or quasi-judicial administrative action will be limited. The amendment provisions of the Act are not intended to permit the alteration of evidence presented in the course of an adjudication, nor are they intended to provide a means for collaterally attacking the finality of a judicial or administrative decision. Review of requests for amendment of adjudicative records will be restricted to determining whether the records accurately reflect the action of the judicial or administrative body ruling on the case and will not contain a review of the merits of the action, determination, or finding.

Record Source Categories

Individuals and their attorneys who submit Privacy Act requests and appeals, Postal Service officials who respond to Privacy Act requests, other sources whom the Postal Service believes have information pertinent to a decision on the Privacy Act request or appeal, other agencies referring requests to the Postal Service, and pertinent records from other Postal Service systems of records.

Systems Exempted From Certain Provisions of the Act

Records or information in this system that have been compiled in reasonable anticipation of a civil action or proceeding are exempt from individual access under 5 U.S.C. 552a(d)(5). In addition, the Postal Service has claimed exemption from certain provisions of the Act for several of its other systems of records as permitted by 5 U.S.C. 552a(j) and (k). See 39 CFR 266.9. To the extent that copies of exempt records from those other systems are incorporated into this system, the exemptions applicable to the original primary system must continue to apply to the incorporated records.

USPS 150.030

System Name

Records and Information Management Records — Computer Logon ID Records, 150.030

System Location

Computer logon ID records are maintained at all postal facilities and certain contractor sites that access Postal Service computers. The records are maintained at the site where the logon ID has been installed. In addition, these records are part of a database of an internal computer security package that uses them in conjunction with rules to control access.

Categories of Individuals Covered by the System

Users of Postal Service computer systems who sign on with a computer logon ID. These are primarily Postal Service employees (including temporary and casual) and contractor employees but may include nonpostal individuals.

Categories of Records in the System

Requests for computer access and computer logon ID and other access control records. These records contain identifying user information such as name, Social Security number, job title, BA Code, work telephone number, and address; employing facility finance number; the name of the data or application systems the user may access, and the level of access granted; user screening and/or security clearances; verification of status of contractor employee; and approvals by Information Systems security personnel.

Authority for Maintenance of the System

39 U.S.C. 401; Pub. L. 100-235, Computer Security Act of 1987.

Purpose(s)

To assign computer logon IDs by which access to data and/or files on computer systems is limited to authorized individuals through the use of computer security access control products. Used by computer security officers in determining various schemes and control of user computer logon IDs; as a positive user identifier in resolving access problems by telephone; and by postal inspectors and authorized personnel in monitoring compliance with access rules.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system.

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

Storage

Paper records that include preprinted forms and lists. Summary information from paper records is stored on magnetic disks or tapes in information systems equipment.

Retrievability

Name, logon ID, and Social Security number of individual who has been assigned a computer logon ID.

Safeguards

Hard copy records are maintained within lockable filing cabinets under the general scrutiny of designated postal personnel (such as Information Systems Security Office) responsible for security of the information systems to which they pertain. Access to automated records is restricted by authorized access code (password).

Retention and Disposal

Retained for 1 year after computer access privileges are canceled and then destroyed by shredding (paper records) or deletion (automated records).

System Manager(s) and Address:

VICE PRESIDENT
INFORMATION SYSTEMS
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-1500

Notification Procedure

Individuals wishing to know whether information about them is maintained in this system of records should address inquiries to the head of the facility that manages the information systems to which they have been given access. Inquiries should contain full name, Social Security number, and logon ID. Headquarters employees should submit requests to:

INFORMATION SERVICE CENTER
COMPUTER OPERATIONS SERVICE CENTER
1 FEDERAL DRIVE
FT SNELLING MN 55111-9340

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Information is furnished by record subjects requesting access to computer files or data and a computer logon ID and by postal personnel charged with information systems security responsibilities.

USPS 170.010 System Name Operations Data Collection Systems — Workload/Productivity Management Records, 170.010

System Location

Various facilities maintaining such records.

Categories of Individuals Covered by the System

Postal Service employees and contract employees.

Categories of Records in the System

Records within this system may contain employee's name, Social Security number, work location, pay location, workhours, overtime status, lunch times, leave information, telephone number, home address, job skills, seniority number, mail volume, machine use, error rates, productivity goal data, project number, project name, name of customer contact, estimated completion date, estimated resources, actual contact, and general remarks about the development of the project.

Authority for Maintenance of the System

39 U.S.C. 401, 404.

Purpose(s)

- a. To provide management with information about employee availability and workhours, mail volume status, productivity rates, equipment usage and maintenance, quality control, inventories, and other data needed for scheduling daily workloads and controlling production.
- b. To determine and apportion time and costs by project of operation.
- c. To provide management with essential information on the relationship between workloads and actual versus planned workhours.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system.

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

Storage

Printed forms, magnetic tape, and disks.

Retrievability

Employee name, Social Security number, project number, pay period, or project name.

Safeguards

Access to these records is limited to those individuals whose official duties require such access. Access to automated records is restricted by authorized access codes. Hard copy records are maintained in secure filing cabinets.

Retention and Disposal

In some instances, records are retained for 1 year and then deleted automatically from computer disks; paper files are destroyed by shredding. Some records are maintained on computer tape beyond 1 year for historical and trend analyses. On some systems, information is updated on a real-time basis.

System Manager(s) and Address:

SENIOR VICE PRESIDENT OPERATIONS
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-2700

(Real-Time Productivity Management System and Delivery Operations Information System).

Other covered systems — the department or facility head where such records are required.

Notification Procedure

Employees wanting to know whether information about them is in this system of records should address inquiries to the department or facility head where employed at the time of reporting. Inquiries should contain full name, Social Security number, and project name and number (if applicable).

Record Access Procedures

Requests for access should be made in accordance with the Notification Procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Postal Service 050.020; 120.070; employees; supervisors; mail processing equipment counts.

USPS 170.020

**System Name
Resource Management/Productivity
Records — Resource Management
Database, 170.020**

System Location

Human Resources and Operations, Headquarters, and other postal facilities as determined by management.

Categories of Individuals Covered by the System

Postal employees.

Categories of Records Covered by the System

Records contain, but are not limited to, the employee's name, home address, telephone, pay location, work hours, overtime status, lunch time, leave balance and usage — sick and

annual leave, continuation of pay, sick leave for dependent care, family medical leave and supporting documentation — leave without pay, limited medical information, and information concerning corrective action and grievance outcomes as they relate to leave usage.

Authority for Maintenance of the System

39 U.S.C. 401, 1001, 1003, 1005, and 5 U.S.C. 8339.

Purpose(s)

Use to establish effective leave administration, analyze employee absences of all types, identify potential attendance problems, and identify employees eligible for attendance-related awards.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system.

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

Storage

Paper records are maintained in locked file cabinets and computer files on magnetic tape or disk in automated office equipment.

Retrievability

By the employee's name or Social Security number.

Safeguards

Access to information in computer files is limited to personnel having an authorized computer password with hierarchical security clearance privileges. Hard copy records are maintained within locked file cabinets under the general scrutiny of designated postal personnel who have jurisdiction over the information. Supporting Family Medical Leave documentation containing restricted medical information will be maintained separately in a locked file cabinet by the FMLA coordinator, and supporting injury compensation documentation will be maintained separately in a locked file cabinet by the Injury Compensation Control Office.

Retention and Disposal

- a. Hard-copy records, including leave slips and leave analysis records, are maintained for 2 years from date of cutoff.
- b. Automated information including absence-related corrective action and disciplinary information is maintained as provided for in the National Agreement.

System Manager(s) and Address:

SENIOR VICE PRESIDENT
OPERATIONS
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-2700

SENIOR VICE PRESIDENT
HUMAN RESOURCES
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-4200

Notification Procedure

Individuals wanting to know whether information about them is maintained in this system of records must address inquiries to the department or facility head where employed at the time of reporting. Inquiries should contain full name and Social Security number.

Record Access Procedures

Requests for access must be made in accordance with the Notification Procedure above and the Postal Service 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

Information is provided primarily by the record subject; however, some data may be obtained from personnel, leave, and timekeeping and other postal data systems of records.

USPS 190.010

System Name

Litigation Records — Miscellaneous Civil Action and Administrative Proceeding Case Files, 190.010

System Location

Law Department, Postal Service Headquarters and field offices.

Categories of Individuals Covered by the System

Individuals involved in litigation or formal administrative proceedings to which the Postal Service is a party or in which information or testimony is sought from Postal Service sources. This system contains only those litigation matters that are not specifically in other Postal Service systems that cover particular litigation subject areas.

Note: These files are a Privacy Act system of records only to the extent that personally identifying information about a person is retrieved from the files by use of the individual's name or other personal identifier. Generally, information in litigation files is retrieved by reference to the case name or number; in those instances where the case name or number is not the personal identifier of an individual, the file is not a Privacy Act system of records.

Categories of Records in the System

Formal pleadings, and briefs, investigative reports, exhibits and other documentary evidence, affidavits, discovery documents, decisions and orders, memoranda of law, miscellaneous notes and case analyses prepared by Postal Service attorneys and other personnel, correspondence and telephone records, and other relevant documents.

Authority for Maintenance of the System

39 U.S.C. 204, 401, 409(d); 39 CFR Subchapter N.

Purpose(s)

This information is used to provide legal advice and representation to the Postal Service.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Information contained in these records is public to the extent that the documents have been filed in a court or public administrative proceeding, unless the court or other adjudicative body has ordered otherwise. Such public information, including information about the nature, status, and disposition of the proceeding, may be disclosed to any individual, unless it is determined that release of specific information in the context of a particular case would be an unwarranted invasion of personal privacy.
2. A record may be transferred and information from it disclosed to any federal agency as may be appropriate for the coordinated defense or prosecution of related litigation or the resolution of related claims or issues without litigation.
3. A record may be disclosed in a federal, state, local, or foreign judicial or administrative proceeding under the procedures and practices governing such proceeding.
4. When considered appropriate, records in this system may be referred to a bar association or similar federal, state, or local licensing or regulatory authority for possible disciplinary action.

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

Storage

Case records are stored in paper folders and on magnetic tape or disk in automated office equipment.

Retrievability

By case name or by case or docket number. Although case files may contain items of information about particular individuals, there is not necessarily a means for retrieving information about a particular individual by the individual's name or other personal identifier.

Safeguards

Folders including paper documents are kept in secure filing cabinets under the scrutiny of Postal Service attorneys. Computer terminals and tape/disk files are in a secured area, and access is restricted to personnel having an official need.

Retention and Disposal

Selected records are retained for as long as subject matter has value for reference and research purposes. All other records are retained in accordance with the applicable Postal Service Retention Schedule. Paper records are destroyed by shredding or burning, and computer tape/disk records are erased.

System Manager(s) and Address:

SENIOR VICE PRESIDENT AND GENERAL COUNSEL
LAW DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-1100

Notification Procedure

Individuals wanting to determine whether this system of records contains information about them should write to the system manager and provide their name and current address, the case number and court of record, if known, the approximate date the action was instituted, and a brief description of the nature of the action.

Record Access Procedures

Requests for access must be made in accordance with the Notification Procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 39 CFR 266.6. The right to access may be limited by various provisions of 5 U.S.C. 552a, including subsection (d)(5).

Contesting Record Procedures

See Notification and Record Access Procedures above.

Note: Review of requests seeking amendment of records that have been the subject of a judicial or quasi-judicial administrative action will be limited in scope. The amendment provisions of the Act are not intended to permit the alteration of evidence presented during an adjudication, nor are they intended to provide a means for collaterally attacking the finality of a judicial or administrative decision. Review of requests for amendment of adjudicative records will be restricted to determining whether the records accurately reflect the action of the judicial or administrative body ruling on the case, and will not contain a review of the merits of the action, determination, or finding.

Record Source Categories

Individuals involved in the proceedings, their attorneys or other representatives, agency officials, law enforcement agencies, witnesses, and relevant records.

Systems Exempted From Certain Provisions of the Act

Records or information in this system that have been compiled in reasonable anticipation of a civil action or proceeding are exempt from individual access under 5 U.S.C. 552a(d)(5). In addition, the Postal Service has claimed exemptions from certain provisions of the Act for several of its other systems of records as permitted by 5 U.S.C. 552a(j) and (k). See 39 CFR 266.9. To the extent that copies of exempt records from those other systems are incorporated into this system, the exemptions applicable to the original primary system must continue to apply to the incorporated records.

USPS 190.020

System Name

Litigation Records — National Labor Relations Board Administrative Litigation Case Files, 190.020

System Location

Law Department, Postal Service Headquarters and field offices.

Categories of Individuals Covered by the System

Employees who are charging parties in NLRB cases, or in whose behalf NLRB charges have been filed by a collective bargaining representative.

Note: These files are a Privacy Act system of records only to the extent that personally identifying information about a person is retrieved from the files by use of the individual's name or other personal identifier. Generally, information in litigation files is retrieved by reference to the case name or number. In those instances where the case name or number is not the personal identifier of a person, the file is not a Privacy Act system of records.

Categories of Records in the System

- a. Formal pleadings and memoranda of law.
- b. Other relevant documents.
- c. Miscellaneous notes and case analyses prepared by Postal Service attorneys and personnel.
- d. Correspondence and telephone records.

Authority for Maintenance of the System

39 U.S.C. 401, 409(d), 1208.

Purpose(s)

This information is used to provide legal advice and representation to the Postal Service.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Information in litigation records is public to the extent that the documents have been filed in a court or public administrative proceeding, unless the court or other adjudicative body has ordered otherwise. Such public information, including information about the nature, status, and disposition of the proceeding, may be disclosed to any individual, unless it is determined that release of specific information in the context of a particular case would be an unwarranted invasion of personal privacy.
2. When appropriate, records in this system may be referred to a bar association or similar federal, state, or local licensing or regulatory authority for possible disciplinary action.
3. A record may be transferred and information from it disclosed to any federal agency as may be appropriate for the coordinated defense or prosecution of related litigation or the resolution of related claims or issues without litigation.
4. A record may be disclosed in a federal, state, local, or foreign judicial or administrative proceeding under the procedures and practices governing such proceeding.

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

Storage

Case records are stored in paper folders and on magnetic tape or disk in automated office equipment.

Retrievability

By name of charging party or individual in whose behalf a charge has been filed or by NLRB case number.

Safeguards

Case folders are kept in secure filing cabinets in secured buildings or areas under the scrutiny of Postal Service attorneys. Computer terminals and tape/disk files are in a secured area, and access is restricted to personnel having an official need.

Retention and Disposal

Selected records are maintained on an active basis until subject matter has no information value and on an inactive basis for an additional 3 years. All other records are maintained for 5 years. Paper records are shredded and computer tape/disk records are erased at the end of retention period.

System Manager(s) and Address:

SENIOR VICE PRESIDENT AND GENERAL COUNSEL
LAW DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-1100

Notification Procedure

Individuals wanting to determine whether this system of records contains information about them must write to the system manager and provide their name, NLRB case number, if known, and approximate date the action was initiated.

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Note: Review of requests seeking amendment of records that have been the subject of a judicial or quasi-judicial administrative action will be limited in scope. The amendment provisions of the Act are not intended to permit the alteration of evidence presented during an adjudication, nor are they intended to provide a means for collaterally attacking the finality of a judicial or administrative decision. Review of requests for amendment of adjudicative records will be restricted to determining whether the records accurately reflect the action of the judicial or administrative body ruling on the case, and will not contain a review of the merits of the action, determination, or finding.

Record Source Categories

- a. Employees involved in NLRB cases.
- b. Counsel(s) or other representative(s) for parties involved in the case other than the Postal Service.
- c. The National Labor Relations Board and its General Counsel.
- d. Other individuals involved in NLRB cases.

Source documents contain case files, investigative reports, and other relevant records.

Systems Exempted From Certain Provisions of the Act

Records or information in this system that have been compiled in reasonable anticipation of a civil action or proceeding are exempt from individual access under 5 U.S.C. 552a(d)(5). In addition, the Postal Service has claimed exemptions from certain provisions of the Act for several of its other systems of

records as permitted by 5 U.S.C. 552a(j) and (k). See 39 CFR 266.9. To the extent that copies of exempt records from those other systems are incorporated into this system, the exemptions applicable to the original primary system must continue to apply to the incorporated records.

USPS 190.030

System Name

Litigation Records — Employee and Labor Relations Court Litigation Case Files, 190.030

System Location

Law Department, Postal Service Headquarters and field offices.

Categories of Individuals Covered by the System

Individuals involved in employee and labor relations litigation.

Note: These files are a Privacy Act system of records only to the extent that personally identifying information about a person is retrieved from the files by use of the individual's name or other personal identifier. Generally, information in litigation files is retrieved by reference to the case name or number. In those instances where the case name or number is not the personal identifier of a person, the file is not a Privacy Act system of records.

Categories of Records in the System

- a. Pleadings in court cases.
- b. Briefs and legal memoranda.
- c. Correspondence and telephone messages.
- d. Other documents relevant to cases filed in the courts or compiled in contemplation that a case will be filed in the courts.

Authority for Maintenance of the System

39 U.S.C. 401, 409(d).

Purpose(s)

This information is used to provide legal advice and representation to the Postal Service.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Information in litigation records is public to the extent that the documents have been filed in a court or public administrative proceeding, unless the court or other adjudicative body has ordered otherwise. Such public information, including information about the nature, status, and disposition of the proceeding, may be disclosed to any individual, unless it is determined that release of specific information of a particular case would be an unwarranted invasion of personal privacy.
2. When appropriate, records in this system may be referred to a bar association or similar federal, state, or local licensing or regulatory authority for possible disciplinary action.

3. A record may be transferred and information from it disclosed to any federal agency as may be appropriate for the coordinated defense or prosecution of related litigation or the resolution of related claims or issues without litigation.
4. A record may be disclosed in a federal, state, local, or foreign judicial or administrative proceeding under the procedures and practices governing such proceeding.

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

Storage

Case records are stored in paper folders and on magnetic tape or disk in automated office equipment.

Retrievability

By topic title or name of individual.

Safeguards

Folders are kept in secured filing cabinets in secured buildings or areas under the scrutiny of Postal Service attorneys. Computer terminals and tape/disk files are in a secured area, and access is restricted to personnel having an official need.

Retention and Disposal

Selected records are maintained on an active basis until subject matter has no information value and on inactive basis for additional 3 years. All other records are maintained for 5 years. Paper records are shredded and computer tape/disk records are erased at the end of retention period.

System Manager(s) and Address:

SENIOR VICE PRESIDENT AND GENERAL COUNSEL
LAW DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-1100

Notification Procedure

Individuals wanting to determine whether this system of records contains information about them must write to the System Manager and provide their name, case number, if known, and the approximate date the action was initiated.

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Note: Review of requests seeking amendment of records that have been the subject of a judicial or quasi-judicial administrative action will be limited. The amendment provisions of the Act are not intended to permit the alteration of evidence presented during adjudication, nor are they intended to provide a means for collaterally attacking the finality of a judicial or administrative decision. Review of requests for amendment of adjudicative records will be restricted to determining whether the records accurately reflect the action of the judicial or administrative body ruling on the case, and will not contain a review of the merits of the action, determination, or finding.

Record Source Categories

- a. Individuals involved in employee and labor relations matters.
- b. Counsel(s) or other representative(s) for parties involved in the case other than the Postal Service.
- c. Other individuals involved in this matter.

Source documents contain internal memoranda, court-related documents, case files, and other relevant records.

Systems Exempted From Certain Provisions of the Act

Records or information in this system that have been compiled in reasonable anticipation of a civil action or proceeding are exempt from individual access under 5 U.S.C. 552a(d)(5). In addition, the Postal Service has claimed exemptions from certain provisions of the Act for several of its other systems of records as permitted by 5 U.S.C. 552a(j) and (k). See 39 CFR 266.9. To the extent that copies of exempt records from those other systems are incorporated into this system, the exemptions applicable to the original primary system must continue to apply to the incorporated records.

USPS 200.010

System Name

Nonmail Monetary Claims — Relocation Assistance Claims, 200.010

System Location

Facilities, Headquarters, and all Facilities Service Offices and Major Facilities Offices.

Categories of Individuals Covered by the System

Owners and tenants of real property purchased or leased by the Postal Service.

Categories of Records in the System

Completed claim forms and other documents related to indemnifying occupants of property acquired by the Postal Service. Information in these documents contains name and address of claimant, address of vacated dwelling, itemized expenses incurred in moving, interim renting, and replacement housing.

Authority for Maintenance of the System

Uniform Relocation and Assistance and Real Property Acquisition Policies Act of 1970 (Pub. L. 91-646) and 39 U.S.C. 401.

Purpose(s)

This information is used to adjudicate claims for reimbursement of relocation expenses incurred by owners and tenants of real property acquired by the Postal Service.

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

General routine use statements a, b, c, d, e, f, g, h, and j listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

May be disclosed to a federal compliance investigator for case or program review.

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

Storage

In file cabinets in original, typed, printed, or handwritten form.

Retrievability

Alphabetically by claimant name within project file.

Safeguards

Maintained in locked file cabinets in the exclusive custody of Facilities management personnel.

Retention and Disposal

Records are kept for the life of the facility and then destroyed.
System Manager(s) and Address:

VICE PRESIDENT
FACILITIES
UNITED STATES POSTAL SERVICE
4301 WILSON BLVD STE 300
ARLINGTON VA 22203-1861

Notification Procedure

Claimants wanting to know whether information about them is maintained in this system of records must address inquiries to the same facility to which they applied for relocation benefits.

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Information is obtained from previous dwelling owner or tenant claimant and Postal Service claim reviewers and adjudicators.

USPS 200.020

System Name

Nonmail Monetary Claims — Monetary Claims for Personal Property Loss or Damage Involving Present or Former Employees, 200.020

System Location

Human Resources, Headquarters, and field facilities;
Information Systems Service Center.

Categories of Individuals Covered by the System

Employees (or their survivors or agents) making a claim for loss or damage to personal property while on duty.

Categories of Records in the System

Forms or written claim of loss or damage, supporting documents such as bills, receipts, repair estimates, replacement estimates, and investigative reports. Data in documents may contain employee name and address, date and description of loss or damage occurrence, insurance coverage and deductible, and amounts of claims.

Authority for Maintenance of the System

39 U.S.C. 401, 409(d).

Purpose(s)

To adjudicate employee claims for loss or damage to their personal property in connection with or incident to their postal employment duties.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system.

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

Storage

Paper documents and computer tape/disk.

Retrievability

By name of claimant.

Safeguards

Folders having paper documents are kept in locked filing cabinets under the scrutiny of Postal Service attorneys.
Computer terminal and tape/disk files are in a secured area.

Retention and Disposal

Records are destroyed 3 years from date claim is adjudicated.
System Manager(s) and Address:

VICE PRESIDENT
HUMAN RESOURCES
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-4200

Notification Procedure

Claimants wanting to know whether information about them is maintained in this system of records must address inquiries to the head of the facility where the claim was filed. Headquarters employees must submit their inquiries to the System Manager.

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Claimants or their agents making monetary claims for loss or damage to personal property, witnesses, investigative sources, and insurance companies.

USPS 200.030

System Name

Nonmail Monetary Claims — Tort Claims Records, 200.030

System Location

Law Department, Postal Service Headquarters and field offices; Postal Inspection Service; District Offices; Post Offices; Information Systems Service Center, and other field installations.

Categories of Individuals Covered by the System

Individuals involved in accidents as a result of postal operations or alleging money damages under the provisions of the Federal Tort Claims Act.

Note: These files are a Privacy Act system of records only to the extent that personally identifying information about a person is retrieved from the files by use of the individual's name or other personal identifier. Generally, information in litigation files is retrieved by reference to the case name or number. In those instances where the case name or number is not the personal identifier of a person, the file is not a Privacy Act system of records.

Categories of Records in the System

Accident reports, tort claims filed, documentary evidence in support of tort claims, administrative appeals, payment records, correspondence, locator cards, and papers pertaining to litigation of tort claims. Litigation case files may contain the aforementioned types of records as well as summonses, lists of witnesses, witness statements, litigation reports, copies of processes and formal pleadings, briefs, supporting documents, notes and case analyses, correspondence, telephone records, and other documents related to the litigation.

Authority for Maintenance of the System

28 U.S.C. 2671-80, 39 U.S.C. 409(c).

Purpose(s)

To be used by attorneys and other employees of the Postal Service to consider, settle, and defend against tort claims made against the Postal Service under the Federal Tort Claims Act; to support effective program management by accident prevention and safety officers; and to provide pertinent information regarding safety, accidents, and claims to equipment manufacturers, suppliers, and their insurers.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the prefatory statement at the beginning of the

Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Records may be transferred to the U.S. Department of Justice, other governmental agencies, and other individuals or entities involved in a claim against the Postal Service, including lessors, insurers, or other parties who may be jointly liable to the claimant or who may owe the Postal Service a duty to defend, insure, indemnify, or contribute, when appropriate, or for use in adjudication, civil litigation, and criminal prosecution.
2. Disclosure may be made to provide members of the American Insurance Association Index System with information related to accidents and injuries.
3. Disclosure may be made to provide information to Postal Service accident prevention and safety officers.
4. Disclosure may be made to furnish information to insurance companies that have named the United States as an additional insured or coinsured party in liability insurance policies.
5. Disclosure may be made to provide information to equipment manufacturers, suppliers, and their insurers for claims considerations and possible improvement of equipment and supplies.
6. Disclosure may be made to respond to a subpoena duces tecum and other appropriate court order and summons.
7. May be disclosed to independent contractors retained by the Postal Service to give advice about the settlement or defense of claims filed against the Postal Service.
8. Information in litigation records is public to the extent that the documents have been filed in a court or public administrative proceeding, unless the court or other adjudicative body has ordered otherwise. Such public information, including information about the nature, status, and disposition of the proceeding, may be disclosed to any individual, unless it is determined that release of specific information of a particular case would be an unwarranted invasion of personal privacy.
9. When considered appropriate, records in this system may be referred to a bar association or similar federal, state, or local licensing or regulatory authority for possible disciplinary action.

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

Storage

Paper records kept in file folders and other suitable containers. Some information may also be stored on magnetic tape or disk in automated office equipment.

Retrievability

Information may be retrieved by claimant's name or Inspection Service case number. Litigation case files are retrieved by case name or name of plaintiff.

Safeguards

Records are maintained in ordinary filing equipment under scrutiny of postal personnel. Access to computer data is restricted to authorized personnel.

Retention and Disposal

- a. Paid Claims and Disallowed Claims (Journal Cases and Litigation Case Files) — Transfer to a Federal Records Center 2 years after final adjudication; destroy when 7 years old.
- b. Closed Case Files (Cases Where Claims Were Neither Allowed nor Disallowed) — Transfer to a Federal Records Center when 2 years old; destroy when 5 years old.
- c. PDC Payment Records — Transfer to a Federal Records Center when 1 year old; destroy when 4 years old.
- d. Locator Cards — Destroy when 7 years old.

System Manager(s) and Address:

SENIOR VICE PRESIDENT AND GENERAL COUNSEL
LAW DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-1100

CHIEF POSTAL INSPECTOR
INSPECTION SERVICE
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-2100

Notification Procedure

Individuals wanting to determine whether this system of records contains information about them must write to the head of the facility where the claim was filed and provide full name and date and place of the occurrence that gave rise to the filing of a claim under the Federal Tort Claims Act. Inquiries regarding records maintained by the Inspection Service must be directed to the chief postal inspector. Inquiries regarding records maintained by the Law Department must be directed to the general counsel.

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Note: Review of requests seeking amendment of records that have been the subject of a judicial or quasi-judicial administrative action will be limited in scope. The amendment provisions of the Act are not intended to permit the alteration of evidence presented during an adjudication, nor are they intended to provide a means for collaterally attacking the finality of a judicial or administrative decision. Review of requests for amendment of adjudicative records will be restricted to determining whether the records accurately reflect the action of the judicial or administrative body ruling on the case, and will not contain a review of the merits of the action.

Record Source Categories

Claimants and their attorneys, reports of postal employees involved in accidents, local police reports, Inspection Service investigative reports, American Insurance Association Index reports, and pertinent records from other Postal Service systems of records.

Systems Exempted From Certain Provisions of the Act

Records or information in this system that have been compiled in reasonable anticipation of a civil action or proceeding are exempt from individual access under 5 U.S.C. 552a(d)(5). In addition, the Postal Service has claimed exemption from certain provisions of the Act for several of its other systems of records as permitted by 5 U.S.C. 552a(j) and (k). See 39 CFR 266.9. To the extent that copies of exempt records from those other systems are incorporated into this system, the exemptions applicable to the original primary system must continue to apply to the incorporated records.

USPS 210.010

System Name

**Contractor Records —
Architect-Engineers Selection Records,
210.010**

System Location

Facilities, Major Facilities, Customer Service Facilities Offices; Facilities Service Offices.

Categories of Individuals Covered by the System

Professional Architect-Engineers.

Categories of Records in the System

Information profile on a person's experience and qualifications in the providing architectural engineering services. These profiles may contain firm name and address, name of principals, personnel statistics, history of fee receipts, experience, and names of associate firms.

Authority for Maintenance of the System

39 U.S.C. 401.

Purpose(s)

To facilitate the review and assessment of the qualifications of architect-engineer firms that have potential for selection and award of a contract to perform architect-engineer services under a designated facility project.

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

General routine use statements a, b, c, d, e, f, g, h, and j listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system.

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

Storage

Printed forms.

Retrievability

State, city, and name of individual or firm.

Safeguards

Records access is limited to authorized personnel in Facilities. Records are retained in filing receptacles in locked quarters and in a secured building facility.

Retention and Disposal

- a. Architect-Engineer and Related Services Questionnaire, SF 254 — Destroy when 1 year old.
- b. Architect-Engineer and Related Services for Specific Projects, SF 255 — When a contract is awarded, attach form to contract; otherwise, destroy when 1 year old.

System Manager(s) and Address:

VICE PRESIDENT
 FACILITIES
 UNITED STATES POSTAL SERVICE
 4301 WILSON BLVD STE 300
 ARLINGTON VA 22203-1861

Notification Procedure

Any individuals desiring information about this system of records must address their inquiries to the designated system manager and provide his or her name and project title.

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Individuals and firms interested in being considered for the negotiation and award of architect-engineer services contracts under the Major Facilities Program.

USPS 210.020

**System Name
 Contractor Records — Driver Screening
 System Assignment Records, 210.020**

System Location

Logistics, Headquarters; postal facilities employing persons under a surface transportation contract with the Postal Service; and Distribution Network Offices.

Categories of Individuals Covered by the System

Individuals under a surface transportation contract with the Postal Service.

Categories of Records in the System

Contractor Employee Assignment Notifications and Personnel Questionnaires that include name, Social Security number, birth date and place, address and employment history, driver's license number, date and type of assignment, route number, and surface transportation contract to which assigned.

Authority for Maintenance of the System

39 U.S.C. 401.

Purpose(s)

To ascertain employees suitability for having an assignment requiring access to mail or postal premises under contract with the Postal Service.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, and l listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system.

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

Storage

Originally typed, printed, or handwritten form; magnetic tape and computer printed reports.

Retrievability

Primarily by surface transportation contract and postal locations serviced; secondarily, by individual's Social Security number and name.

Safeguards

Through computerized codes and passwords, access is restricted to offices that are the authority for a specific contract and to only those Post Offices serviced by the contract.

Retention and Disposal

Records are held 1 year after the contract expires, or 1 year following an individual's employment termination with a company that has been awarded a surface transportation contract.

System Manager(s) and Address:

VICE PRESIDENT
 OPERATIONS PLANNING
 UNITED STATES POSTAL SERVICE
 475 L'ENFANT PLZ SW
 WASHINGTON DC 20260-7000

Notification Procedure

Contractors wishing to know whether information about them is maintained in this system of records should address inquiries to the transportation contracting officer. Inquiries should contain full name and surface transportation contract number.

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

The contractor.

USPS 210.030

System Name

Contractor Records — Contractor Employee Fingerprint Records, 210.030

System Location

Logistics, Headquarters; area offices; and postal facilities having contract personnel.

Categories of Individuals Covered by the System

Individuals under contract with the Postal Service.

Categories of Records in the System

Fingerprint cards that have prospective contractor's name, Social Security number, address, date and place of birth, personal description characteristics, and fingerprints.

Authority for Maintenance of the System

39 U.S.C. 401.

Purpose(s)

To determine whether a contractor employee has an arrest record and to provide information to the contracting officer with regard to the Postal Service screening procedures.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, and l listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system. All Postal Service fingerprint charts are sent to the Federal Bureau of Investigation.

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

Storage

Originally typed, printed, or handwritten form.

Retrievability

Contractor employee name.

Safeguards

Kept in locked file cabinets by administrative officials.

Retention and Disposal

Records are kept until employee leaves employment of Postal Service and then are destroyed 2 years later by shredding.

System Manager(s) and Address:

VICE PRESIDENT
OPERATIONS PLANNING
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-7000

Notification Procedure

Inquiries should be addressed to the contracting officer, Surface Transportation, within the area where employed. Inquiries should contain full name and Social Security number.

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Contractor employed by the Postal Service.

USPS 210.040

System Name

Contractor Records — Supplier and Contractor Records, 210.040

System Location

Purchasing and Materials offices (Headquarters Purchasing, Purchasing & Materials Service Centers, Topeka Purchasing Service Center, Major Facilities Purchasing, and National Mail Transportation Purchasing); Facilities offices (Headquarters Facilities, Major Facilities Office, Facilities Service Offices, and satellite offices); Distribution Network Offices; Administrative Service Offices at the 85 district offices; Maintenance Support staff doing repair and alteration work in the areas; and postal organizations that have received a special delegation of contracting authority.

Categories of Individuals Covered by the System

Suppliers with whom the Postal Service contracts for the furnishing of supplies and equipment; mail transportation, construction, construction management, maintenance, architect and engineering, environmental, real estate, and other related services; and prospective suppliers and offerors of those goods and services.

Note: Records in this system that mention identifiable individuals consist primarily of proprietary or commercial information. However, some of the records in the system that pertain to individuals may reflect personal information. Only the records reflecting information about an individual are subject to the Privacy Act. The system also contains records concerning corporations and other business entities. These records are not subject to the Privacy Act.

Categories of Records in the System

Name, address, telephone number, fax number, e-mail address, Social Security number, tax identification number, socioeconomic status; information about business type and goods or services offered; contract number, dollar value of the contract, and related information; and proprietary proposal information and financial statements.

Authority for Maintenance of the System

39 U.S.C. 401.

Purpose(s)

Information in this system is used to make informed decisions in the contracting process and to provide information for administering contracts and financial record keeping, and upon which to base future purchasing decisions.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Solicitation mailing lists may be disclosed when, in the judgment of the contracting officer, a purchase is highly competitive and competition will not be harmed by the release, or to provide an opportunity for potential subcontractors seeking business.
2. To a federal, state, or local agency, financial institution, or other appropriate entity for the purpose of verifying an individual's or entity's eligibility or suitability for engaging in a transaction.
3. To any member of the public, a list of lessors of real or personal property to the Postal Service.
4. To any member of the public, a list of entities with whom the Postal Service transacts for goods or services, interests in real property, construction, financial instruments, or intellectual property.
5. To any member of the public, the identity of a successful offeror.

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

Storage

Paper files and various computer systems that track issued contracts, property lessors, and offerors of goods or services.

Retrievability

By name of individual or business; contract number; tax identification number/Social Security number; and leased facility (for lessor information).

Safeguards

Paper records are accessible only by authorized postal employees and are secured in file cabinets in areas that are restricted during on-duty hours and are locked during non-duty hours. Access to automated records is restricted by computer security technology including the use of passwords. Access is granted on an official need-to-know basis.

Retention and Disposal

- a. Contract Case Files — The case file is closed at the end of the fiscal year in which it becomes inactive and disposed of 6 years from that date.
- b. Unsuccessful Proposals — Disposed of 1 year after contract is awarded.
- c. Leased Real Estate files — The lease file is closed at the end of the calendar year in which the lease or rental agreement expires or terminates and disposed of 6 years and 3 months from that date.
- d. Computerized contractor, lessor, and prospective supplier information is maintained indefinitely.

System Manager(s) and Address:

VICE PRESIDENT
PURCHASING AND MATERIALS
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-6200

VICE PRESIDENT
FACILITIES
UNITED STATES POSTAL SERVICE
4301 WILSON BLVD STE 300
ARLINGTON VA 22203-1861

Notification Procedure

Individuals wanting to know whether information about them is maintained in this system of records must address inquiries in writing to the system manager(s). Inquiries must contain name and contract number or other identifying information.

Record Access Procedures

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

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Information is furnished by record's subjects.

USPS 300.010

**System Name
Office of Inspector General —
Investigative File System, 300.010**

System Locations

Office of the Inspector General (OIG):

1. Headquarters, and
2. respective OIG field offices (see addresses at end of system notice).

Categories of Individuals Covered by the System

- a. Subjects of investigations, unsolicited information, surveillance; complainants, informants, witnesses; and other individuals related to investigations.
- b. Applicants and current and former Postal Service personnel and contractors and individuals providing information related to employment suitability checks on those individuals.
- c. Applicants for and appointees to sensitive positions in the Postal Service and individuals providing information related to security clearance checks on those individuals.

Categories of Records in the System

Information within this system relates to OIG investigations carried out under applicable statutes, regulations, policies, and procedures. The investigations may relate to criminal, civil, or administrative matters, including personnel suitability and security clearance. Generally, investigative case files are

Appendix – Privacy Act Systems of Records

physically located in the responsible OIG field office or at Headquarters. These files may contain investigative reports, background data including arrest records, statements of informants and witnesses, laboratory reports of evidence analysis, search warrants, summons and subpoenas, and other information related to the investigation. Personal data in the system may consist of fingerprints, handwriting samples, reports of confidential informants, physical identifying data, voiceprints, polygraph tests, photographs, and individual personnel and payroll information. OIG database systems contain additional or summary duplicative case files and other information in support of investigations. In addition, OIG Headquarters and field offices maintain reference files and indexes, as needed, for quick access in day-to-day operations. The specific authority for the OIG to investigate postal offenses and civil matters relating to the Postal Service is conferred at 39 U.S.C. 202(e)(1) – (3) and 404(a)(7); 18 U.S.C. 3061; and 5 U.S.C. App 3. In the exercise of that authority, the OIG conducts investigations under all appropriate federal statutes and administrative rules.

Authority for Maintenance of the System

39 U.S.C. 202 and 404, 18 U.S.C. 3061, and 5 U.S.C. App. 3.

Purpose(s)

To provide information related to investigation of criminal, civil, or administrative matters, including employee and contractor background investigations.

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

General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the prefatory statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. When conducting any official investigation or during a trial or hearing or the preparation of a trial or hearing, a record may be disseminated to an agency, organization, or individual when reasonably necessary to elicit information relating to the investigation, trial, or hearing or to obtain the cooperation of a witness or informant.
2. A record relating to a case or matter may be disseminated to a federal, state, or local administrative or regulatory proceeding or hearing, in accordance with the procedures governing such proceeding or hearing.
3. A record relating to a case or matter may be disseminated in an appropriate federal, state, local, or foreign court or grand jury proceeding, in accordance with established constitutional, substantive, or procedural law or practice.
4. A record relating to a case or matter may be disseminated to an actual or potential party or his or her attorney for the purpose of negotiation or discussion on such matters as settlement of the case or matter, plea bargaining, or informal discovery proceedings.
5. A record relating to a case or matter that has been referred by an agency for investigation, prosecution, or enforcement or that involves a case or matter within the jurisdiction of an agency may be disseminated to such agency to notify the agency of the status of the case or matter, or of any decision or determination that has been made, or to make such other inquiries and reports as are necessary during the processing of the case or matter.

6. A record relating to a person held in custody pending or during arraignment, trial, sentence, or extradition proceedings or after conviction may be disseminated to a federal, state, local, or foreign prison, probation, parole, or pardon authority or to any other agency or individual involved with the maintenance, transportation, or release of such a person.
7. A record relating to a case or matter may be disseminated to a foreign country under an international treaty or convention entered into and ratified by the United States or under an executive agreement.
8. A record may be disseminated to a federal, state, local, foreign, or international law enforcement agency to assist in the general crime prevention and detection efforts of the recipient agency or to provide investigative leads to such agency.
9. A record from this system may be disclosed to the public, news media, trade associations, or organized groups to provide information of interest to the public about the activities and the accomplishments of the Postal Service or its employees.
10. A record may be disseminated to a foreign country, through the United States Department of State or directly to the representative of such country, to the extent necessary to assist such country in apprehending or returning a fugitive to a jurisdiction that seeks that individual's return.
11. A record may be disclosed to members of the American Insurance Association Index System to provide them with information relating to accidents and injuries.

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

Storage

Case records are stored in paper folders. Abbreviated, summary, and identifying information pertaining to cases and criminal intelligence information are stored on computer storage media.

Retrievability

Name of the individual who is the subject of the file.

Safeguards

Investigative records are maintained in locked file cabinets, safes, or secured areas under the scrutiny of OIG personnel who have been subjected to security clearance procedures. Access is further restricted by computer passwords when stored in electronic format. Automated records can only be accessed through authorized terminals by authorized users. Computer software has been designed to protect data by controlling access, logging actions, and reporting exceptions and violations.

Retention and Disposal

- a. Records are maintained 1 to 15 years, depending on type. Exceptions may be granted for longer retention in specific instances. Paper records are destroyed by burning, pulping, or shredding. Computer tape/disk records are erased or destroyed.
- b. Duplicate copies of investigative memorandums maintained by postal officials other than OIG are retained in accordance with a generally applicable

Postal Service retention schedule rather than the OIG disposition schedules.

System Manager(s) and Address:

INSPECTOR GENERAL
UNITED STATES POSTAL SERVICE
1735 N LYNN ST
ARLINGTON VA 22209-2020

Notification Procedure

Individuals wanting to know whether information about them is in this system of records or if they were the subject of an investigation must furnish the system manager sufficient identifying information to distinguish them from other individuals of like name; identifying data will contain date of birth, name, address, type of investigation, dates, places, and the individual's involvement.

Record Access Procedures

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

OIG FREEDOM OF INFORMATION/PRIVACY ACTS
OFFICER
1735 N LYNN ST
ARLINGTON VA 22209-2020
TELEPHONE: (703) 248-2300

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Personal interviews, written inquiries, and other records about individuals involved with an investigation, whether subjects, applicants, witnesses, references, or custodians of record information.

Systems Exempted From Certain Provisions of the Act

The Postal Service has established regulations at 39 CFR 266.9 that exempt information contained in this system of records from various provisions of the Privacy Act depending on the purpose for which the information was gathered and for which it will be used. Compliance with the disclosure (5 U.S.C. 552a(d)) and other subsections of the Act are not compatible with investigative practice and would substantially compromise the efficacy and integrity of OIG operations. The purposes for which records are kept within this system and the exemptions applicable to those records are as follows:

- a. Criminal law enforcement — Under 5 U.S.C. 552a(j)(2), information compiled for this purpose is exempt from all the provisions of the Act except the following sections: (b), (c)(1) and (2), (e)(4)(A) through (F), (e)(6), (7), (9), (10), (11), and (i).
- b. Non-criminal investigatory — under 5 U.S.C. 552a(k)(2), material compiled for law enforcement purposes (and not exempted by 5 U.S.C. 552a(j)(2)) is exempted from the following provisions of the Act: (c)(3), (d), (e)(1), (e)(4)(G), (H) and (I), and (f).
- c. Background investigations — material compiled solely for the purpose of a background security investigation is exempted by 5 U.S.C. 552a(k)(5) from the following provisions of the Act: (c)(3), (d), (e)(1), (e)(4)(G), (H) and (I), and (f).

Part 2 contains the complete text of the Postal Service's Customer-related-Privacy Act systems of records.

USPS 500.000

System Name Address Change, Mail Forwarding, and Related Services

System Location

Postal Service National Customer Support Center (NCSC), Computerized Forwarding System (CFS) sites, Post Offices, and contractor sites.

Categories of Individuals Covered by the System

Customers requesting change of address, mail forwarding or other related services either online or offline. Customers who are victims of a natural disaster who request mail forwarding services through the American Red Cross.

Categories of Records in the System

1. *Customer information:* name, title, signature, customer number, old address, new address, filing date, and other contact information.
2. *Verification and payment information:* credit and/or debit card number, type, and expiration date; information for identity verification; billing information.
3. *Demographic information:* designation as individual/family/business.
4. *Customer preferences:* permanent or temporary move, mail forwarding instructions, service requests and responses.
5. *Customer inquiries and comments:* description of service requests and responses.
6. Records from service providers, including for move-related services, such as name of provider; customer name, number, and contact information; information related to products purchased, billing, and customer service; and records for identity verification.
7. *Optional customer information:* information a customer chooses to save to apply to future transactions, such as names, addresses, proof of identification, billing, and other information used to request a service.
8. Protective Orders.

Authority for Maintenance of the System

39 U.S.C. 401, 403, and 404.

Purpose(s)

1. To provide mail forwarding and change of address services.
2. To provide address correction services.
3. To provide address information to the American Red Cross about a customer who has been relocated because of disaster.
4. To provide customers the ability to contact providers of move-related services (e.g., moving vans or supplies).

Routine Uses of Records in the System

In addition to the standard routine uses for customer-related systems, the following additional routine uses also apply:

- a. *Disclosure upon request.* The new address of a specific business or organization that has filed a permanent change of address order may be furnished to any individual on request.
Note: The new address of an individual or family will not be furnished pursuant to this routine use, but only when authorized by one of the standard routine uses listed above or one of the specific routine uses listed below.
- b. *Disclosure for Address Correction.* Disclosure of any customer's new permanent address may be made to a mailer, only if the mailer is in possession of the old address: from the National Change of Address file, if the mailer is seeking corrected addresses for a mailing list; from the Computerized Forwarding System, if a mailpiece is undeliverable as addressed; or from the Locatable Address Correction System, if an address designation has been changed or assigned. Copies of change of address orders may not be furnished.
- c. *Disclosure for Voter Registration.* Any customer's permanent change of address may be disclosed to a duly formed election board or registration commission using permanent voter registration. Copies of change of address orders may be furnished.
- d. *Disclosure to Government Agency.* Any customer's permanent or temporary change of address information may be disclosed to a Federal, state, or local government agency upon prior written certification that the information is required for the performance of its duties. A copy of the change of address order may be furnished. Name and address information may be disclosed to government planning authorities, or firms under contract with those authorities, if an address designation has been changed or assigned.
- e. *Disclosure to Law Enforcement Agency.* Any customer's permanent or temporary change of address information may be disclosed to a law enforcement agency for oral requests made through the Postal Inspection Service, but only after the Postal Inspection Service has confirmed that the information is needed for a criminal investigation. A copy of the change of address order may be furnished.
- f. *Disclosure for Service of Process.* Any customer's permanent or temporary change of address information may be disclosed to a person empowered by law to serve legal process, or the attorney for a party in whose behalf service will be made, or a party who is acting pro se, upon receipt of written information that meets prescribed certification requirements. Disclosure will be limited to the address of the specifically identified individual (not other family members or individuals whose names may also appear on the change of address order). A copy of the change of address order may not be furnished.
- g. *Disclosure for Jury Service.* Any customer's change of address information may be disclosed to a jury commission or other court official, such as a judge or court clerk, for purpose of jury service. A copy of the change of address order may be furnished.
- h. *Disclosure at Customer's Request.* If the customer elects, change of address information may be disclosed to government agencies or other entities, and

requests for move-related services may be forwarded to the specified service provider.

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

Storage

Change of address orders are maintained on file at the delivery unit. They are filed alphabetically by name within a month. Records generated from the source document are recorded on the Forwarding Control system file server and on 8-mm tapes at Computerized Forwarding System units. Electronic change of address records and related service records are also stored on disk and/or magnetic tape in a secured environment. Change of address records are consolidated in a National Change of Address (NCOA) File at the NCSC. Selected extracts of NCOA are provided to a limited number of firms under contract or license agreement with the Postal Service. Records pertaining to move-related services are also transmitted to specific service providers, including government agencies and private companies under contract to the Postal Service.

Retrievability

Records are retrieved by the following methods:

- *For paper records:* by name, address, date, and ZIP Code.
- *For electronic records:* by name, address, date, ZIP Code, and customer number for electronic change of address and related service records; by name, address, and e-mail address for customer service records; by service provider name or number for service provider records.

Safeguards

Access to and use of these records is limited to those individuals whose official duties require such access. Contractor/licensee is subject to contract controls and unannounced onsite audits and inspection by the Postal Inspection Service.

Retention and Disposal

National change of address records are retained for 4 years from the effective date.

Records saved at the customer's option are retained until the customer notifies the Postal Service to delete the previous transaction records or the account is disabled for inactivity. The customer may request modifications to saved records at any time, and those modifications will be executed upon receipt of that request.

All other records are retained for up to 18 months.

Records are destroyed or deleted at the end of the retention period.

System Manager(s) and Address:

CHIEF TECHNOLOGY OFFICER AND SENIOR VICE PRESIDENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-1500

VICE PRESIDENT
DELIVERY AND RETAIL
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-1600

Notification Procedure

Customers wanting to know if information about them is maintained in this system of records should address inquiries to their local postmaster. Inquiries should contain full name, address, effective date of change order, route number (if known), and ZIP Code. Customers wanting to know if information about them is also maintained in the National Change of Address File should address such inquiries to:

MANAGER NCOA
NATIONAL CUSTOMER SUPPORT CENTER
UNITED STATES POSTAL SERVICE
6060 PRIMACY PARKWAY
MEMPHIS TN 38188-0001

Record Access Procedures

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

Contesting Record Procedures

See Notification Procedures and Record Access Procedures above.

Record Source Categories

Customers, personnel, and service providers.

USPS 510.100

System Name usps.com Registration

System Location

Information Systems Service Centers (ISSC), Postal Service Headquarters Marketing, and contractor sites.

Categories of Individuals Covered by the System

Customers who register via the Postal Service Web site: www.usps.com.

Categories of Records in the System

1. *Customer information:* name, customer ID(s), company name, job title and role, home, business, and billing address, home and business phone and fax number, e-mail, URL, Automated Clearing House (ACH) information.
2. *Identity verification information:* question, answer, username, user ID, and password.
3. *Business-specific information:* business type and location, business IDs, annual revenue, number of

employees, industry, nonprofit rate status, product usage information, annual and/or monthly shipping budget, payment method and information, planned use of product, and age of Web site.

4. *Customer preferences:* preferences to receive Postal Service marketing information, preferences to receive marketing information from Postal Service partners, preferred means of contact, preferred e-mail format, product and/or service marketing preference.
5. *Customer feedback:* method of referral to Web site.
6. *Registration information:* date of registration.

Authority for Maintenance of the System

39 U.S.C. 401, 403, and 404.

Purpose(s)

1. To provide online registration services for customers.
2. To obtain accurate contact information in order to deliver requested products, services, and other material.
3. To authenticate customer logon information for www.usps.com.
4. To permit customer feedback in order to improve www.usps.com or Postal Service products and services.
5. To enhance understanding and fulfillment of customer needs.

Routine Uses of Records in the System

The standard routine uses for customer-related systems apply.

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 customer name, customer ID(s), phone number, or mail or e-mail address.

Safeguards

Paper records, computers, and computer storage tapes and disks are maintained in controlled-access areas or under general supervision of program personnel. Computers are protected by a cipher lock system, card key system, or other physical access control methods. Computer systems are also protected with an installed security software package, computer logon identifications, and operating system controls including access controls, terminal and use identifications, and file management. Online data transmissions are protected by encryption.

For small business registration, computer storage tapes and disks are maintained in controlled-access areas or under general scrutiny of program personnel. Access is controlled by logon ID and password, as authorized by the Marketing organization via secure Web site. Online data transmissions are protected by encryption.

Access to these records is limited to authorized personnel. Contractors must provide similar protection subject to a security compliance review by the Postal Inspection Service.

Retention and Disposal

ACH records are retained for up to 2 years.

Records stored in the registration database are retained until the customer cancels the profile record, for 3 years after the customer last accesses records, or until the relationship ends.

For small business registration, records are retained for 5 years after the relationship ends.

Records are destroyed or deleted at the end of the retention period.

System Manager(s) and Address:

CHIEF MARKETING OFFICER AND SENIOR VICE
PRESIDENT
UNITED STATES POSTAL SERVICE
1735 N LYNN ST
ARLINGTON VA 22209-6000

Notification Procedure

Customers wanting to know if information about them is maintained in this system of records must address inquiries in writing to the system manager. Inquiries must contain name, address, and other identifying information.

Record Access Procedures

Requests for access must be made in accordance with the Notification Procedure above and the Postal Service 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

Customers.

USPS 510.200

System Name

usps.com Ordering, Payment, and Fulfillment

System Location

Postal Service Marketing Headquarters; Information Systems Service Centers (ISSC); Philatelic Fulfillment Centers; Post Offices; and contractor sites.

Categories of Individuals Covered by the System

Customers who place orders and/or make payment for Postal Service products and services through www.usps.com.

Categories of Records in the System

1. *Customer information:* name, customer ID(s), phone and/or fax number, mail and e-mail address.
2. *Payment information:* credit and/or debit card number, type, and expiration date, billing information, Automated Clearing House (ACH) information.
3. *Shipping and transaction information:* product and/or service ID numbers, descriptions, and prices; name and address(es) of recipients; order number and

delivery status; electronic address lists; electronic documents or images; job number.

4. Claims submitted for defective merchandise.

Authority for Maintenance of the System

39 U.S.C. 401, 403, and 404.

Purpose(s)

1. To fulfill orders for Postal Service products and services.
2. To promote increased use of the mail by providing electronic document preparation and mailing services for customers.
3. To provide shipping supplies and services, including return receipts and labels.
4. To provide recurring ordering and payment services for products and services.

Routine Uses of Records in the System

The standard routine uses for customer-related systems apply.

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

Storage

Automated databases, computer storage media, and paper.

Retrievability

By customer name, customer ID(s), phone number, mail or e-mail address, or job number.

Safeguards

Paper records and computer storage tapes and disks are maintained in controlled-access areas or under general supervision of program personnel. Computers containing information are located in controlled-access areas with personnel access controlled by a cipher lock system, card key system, or other physical access control method. Computer systems are protected with an installed security software package, computer logon identifications, and operating system controls including access controls, terminal and user identifications, and file management. Online data transmission is protected by encryption, dedicated lines, and authorized access codes. For shipping supplies, data is protected within a stand-alone system within a controlled-access facility.

Access to these records is limited to those persons whose official duties require such access. Contractors must provide similar protection subject to contract controls and security compliance review by the Postal Inspection Service.

Retention and Disposal

Records related to mailing online and online tracking and/or confirmation services supporting a customer order are retained for up to 30 days from completion of fulfillment of the order, unless retained longer by request of the customer. Records related to shipping services and domestic and international labels are retained for 90 days. Delivery Confirmation and return receipt records are retained for 6 months. Signature Confirmation records are retained for 1 year. ACH records are retained for up to 2 years.

Other customer records are retained for 3 years after the customer relationship ends.
 Records are destroyed or deleted at the end of the retention period.
 System Manager(s) and Address:
 CHIEF MARKETING OFFICER AND SENIOR VICE PRESIDENT
 UNITED STATES POSTAL SERVICE
 1735 N LYNN ST
 ARLINGTON VA 22209-6000

Notification Procedure

Customers wanting to know if information about them is maintained in this system of records must address inquiries in writing to the system manager. Inquiries must contain name, address, customer ID(s), and order number, if known.

Record Access Procedures

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

Contesting Record Procedures

See Notification Procedures and Record Access Procedures above.

Record Source Categories

Customers.

USPS 510.300

System Name

Offline Registration, Payment, and Fulfillment

System Location

Postal Service Marketing Headquarters; Information Systems Service Centers (ISSC); Philatelic Fulfillment Service Center; area and district facilities; Post Offices; and contractor sites.

Categories of Individuals Covered by the System

Customers who register for Postal Service programs, place orders, and/or make payment for Postal Service products and services via offline means.

Categories of Records in the System

1. *Customer information:* name, customer ID(s), company name, job title, home, business, and billing address(es), phone number(s), fax number(s), e-mail, URL, verification question and answer, username, and password.
2. *Payment information:* credit and/or debit card number, type, and expiration date; billing name and address; check; money order, Automated Clearing House (ACH) information.
3. *Shipping information:* product and/or service ID number, name and address of recipient.
4. *Customer preferences:* preferences to receive Postal Service marketing information, preferences to receive marketing information from Postal Service partners,

preferred contact media, preferred e-mail format, product and/or service marketing preference.

5. *Customer feedback:* method of referral.
6. *Order processing:* inquiries on status of orders; claims submitted for defective merchandise; lists of individuals who have submitted bad checks.

Authority for Maintenance of the System

39 U.S.C. 401, 403, and 404.

Purpose(s)

1. To provide offline registration services for customers.
2. To fulfill requests for Postal Service products, services, and other materials.
3. To authenticate customer information and permit customer feedback.
4. To operate recurring ordering and payment services for products and services.
5. To enhance understanding and fulfillment of customer needs.

Routine Uses of Records in the System

The standard routine uses for customer-related systems apply.

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

Storage

Automated databases, computer storage media, and paper forms.

Retrievability

By customer name, customer ID(s), phone number, mail or e-mail address, or order number.

Safeguards

Paper records and computer storage tapes and disks are maintained in controlled-access areas or under general scrutiny of program personnel. Computers containing information are located in controlled-access areas with personnel access controlled by a cipher lock system, card key system, or other physical access control method. Computer systems are protected with an installed security software package, computer logon identifications, and operating system controls including access controls, terminal and user identifications, and file management. Online data transmission is protected by encryption, dedicated lines, and authorized access codes. For shipping supplies, data is protected within a stand-alone system within a controlled-access facility. Access to these records is limited to those persons whose official duties require such access. Contractors must provide similar protection subject to contract controls and security compliance review by the Postal Inspection Service.

Retention and Disposal

ACH records are retained for up to 2 years. Other records are retained for up to 3 years after the customer relationship ends. Records are destroyed or deleted at the end of the retention period.

Appendix – Privacy Act Systems of Records

System Manager(s) and Address:

CHIEF MARKETING OFFICER AND SENIOR VICE
PRESIDENT
UNITED STATES POSTAL SERVICE
1735 N LYNN ST
ARLINGTON VA 22209-6000

Notification Procedure

Customers wanting to know if information about them is maintained in this system of records must address inquiries in writing to the system manager. Inquiries must contain name, address, and other identifying information.

Record Access Procedures

Requests for access must be made in accordance with the Notification Procedure above and the Postal Service 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

Customers.

USPS 520.100

System Name

Mailer Services — Applications and Approvals

System Location

Postal Service Headquarters; Information Systems Service Centers (ISSC); National Customer Support Center (NCSC); district facilities; detached mailing units; and facilities that access Postal Service computers.

Categories of Individuals Covered by the System

Customers who apply for mail management and tracking products or services.

Categories of Records in the System

1. *Customer information:* applicant and key contacts name, mail and e-mail address, phone number, fax number, customer ID(s), job title and/or role, employment status, company name, location, industry, monthly shipping budget, annual revenue, payment information, Automated Clearing House (ACH) information.
2. *Customer or product identification and authentication:* user and manager customer ID(s) and/or passwords; customer signature, date, last four digits of Social Security number (SSN); Postal Service site; security personnel name, signature, date, telephone number, and last four digits of Social Security number (SSN); Postal Service location information; D-U-N-S Number; postage meter numbers; permit numbers; POSTNET code; mailer ID(s); publication name(s) and ID(s); and name(s) of authorized users.
3. *Mail practices and delivery information:* type of mailing equipment and/or containers used, mail preparation

information, drop shipment sites and codes, compatibility with mailing automation equipment, presort options and tests, frequency of mailings, mail volume, primary type of mailing, destination information, use of contracted mail services, names and addresses of contractors and advertisers, publication name(s) and ID(s), and appointment times.

4. *Technical information:* hardware, software, and equipment names, types, versions, and specifications; media preferences; mail site specifications.
5. *Product usage and payment information:* package volumes, package weights, product ordered, quantity ordered, billing information, products used, ordered date, inventory date, and usage measure dates.
6. *Customer feedback:* method of referral.

Authority for Maintenance of the System

39 U.S.C. 401, 403, and 404.

Purpose(s)

1. To provide application services for mail management and tracking products and services.
2. To authenticate applicant information, assign computer logon IDs, and qualify and assist users.
3. To provide product and/or service updates, service, and support.
4. To collect accurate technical data to ensure the proper operation of electronic data transmission and software.

Routine Uses of Records in the System

The standard routine uses for customer-related systems apply.

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 customer name, customer ID(s), or logon ID.

Safeguards

Paper records, computers, and computer storage tapes and disks are maintained in controlled-access areas or under general supervision of program personnel. Computers are protected by a cipher lock system, card key system, or other physical access control methods. Computer systems are also protected with an installed security software package, computer logon identifications, and operating system controls including access controls, terminal and use identifications, and file management. Online data transmissions are protected by encryption.

Access to these records is limited to authorized personnel, who must be identified with a badge. Contractors must provide similar protection subject to a security compliance review by the Postal Inspection Service.

Retention and Disposal

Logon records are retained for 1 year after computer access. ACH records are retained for up to 2 years. Security access records are retained for 2 years after computer access privileges are cancelled. Other customer records are retained

for 4 years after the customer relationship ends. Records are deleted or destroyed at the end of the retention period.

System Manager(s) and Address:

CHIEF MARKETING OFFICER AND SENIOR VICE
PRESIDENT
UNITED STATES POSTAL SERVICE
1735 N LYNN ST
ARLINGTON VA 22209-6000

Notification Procedure

Customers wanting to know if information about them is maintained in this system of records must address inquiries in writing to the system manager. Inquiries should contain name, customer ID(s), if any, and/or logon ID.

Record Access Procedures

Requests for access must be made in accordance with the Notification Procedure above and the Postal Service 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

Customers.

USPS 520.200

System Name

Mail Management and Tracking Activity

System Location

Postal Service Headquarters; Information Systems Service Centers (ISSC); and Mail Transportation Equipment Service Centers.

Categories of Individuals Covered by the System

Customers who use Postal Service mail management and tracking services.

Categories of Records in the System

1. *Customer information:* customer or contact name, mail and e-mail address, title or role, and phone number.
2. *Identification information:* customer ID(s), last four digits of Social Security number (SSN), D-U-N-S Number; mailer and mailing ID, Advertiser name/ID, username and password.
3. *Data on mailings:* paper and electronic data on mailings, including postage statement data (such as volume, class, rate, postage amount, date and time of delivery, mailpiece count), destination of mailing, delivery status, mailing problems, presort information, Reply Mailpiece information, container label numbers, package label, Special Services label, article number, and permit numbers.
4. *Payment information:* credit and/or debit card number, type, and expiration date; Automated Clearing House (ACH) information.
5. *Customer preference data:* hold mail begin and end date, redelivery date, delivery options, shipping and pickup preferences, drop ship codes, comments and

instructions, mailing frequency, preferred delivery dates.

6. *Product usage information:* Special Services label and article number.

Authority for Maintenance of the System

39 U.S.C. 401, 403, and 404.

Purpose(s)

1. To provide mail acceptance, induction, and scheduling services.
2. To fulfill orders for mail transportation equipment.
3. To provide customers with information about the status of mailings within the Postal Service network.
4. To help mailers identify performance issues regarding their mail.
5. To provide delivery units with information needed to fulfill requests for mail redelivery and hold mail service at the address and for the dates specified by the customer.

Routine Uses of Records in the System

The standard routine uses for customer-related systems apply.

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

Storage

Automated databases, computer storage media, and paper.

Retrievability

By customer name, customer ID(s), or logon ID.

Safeguards

Paper records, computers, and computer storage tapes and disks are maintained in controlled-access areas or under general supervision of program personnel. Computers are protected by a cipher lock system, card key system, or other physical access control methods. Computer systems are also protected with an installed security software package, computer logon identifications, and operating system controls including access controls, terminal and use identifications, and file management. Online data transmissions are protected by encryption.

Access to these records is limited to authorized personnel, who must be identified with a badge. Contractors must provide similar protection subject to a security compliance review by the Postal Inspection Service.

Retention and Disposal

CONFIRM records are retained for up to 30 days. Records related to ePubWatch, Confirmation Services and hold mail services are retained for up to 1 year. Special Services and drop ship records are retained for 2 years. ACH records are retained for up to 2 years.

Other records are retained for 4 years after the relationship ends.

Records are destroyed or deleted at the end of the retention period.

Appendix – Privacy Act Systems of Records

System Manager(s) and Address:

CHIEF MARKETING OFFICER AND SENIOR VICE
PRESIDENT
UNITED STATES POSTAL SERVICE
1735 N LYNN ST
ARLINGTON VA 22209-6000

Notification Procedure

Customers wanting to know if information about them is maintained in this system of records must address inquiries in writing to the system manager. Inquiries should contain name, customer ID(s), if any, and/or logon ID.

Record Access Procedures

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

Contesting Record Procedures

See Notification Procedures and Record Access Procedures above.

Record Source Categories

Customers.

USPS 530.000

System Name

Customer Service and Correspondence

System Location

Postal Service Consumer Advocate, Headquarters; Information Systems Service Centers (ISSC); the Integrated Business Systems Solutions Center (IBSSC); the National Customer Support Center (NCSC); districts, Post Offices, contractor sites; and detached mailing units at customer sites.

Categories of Individuals Covered by the System

This system contains records relating to customers who contact customer service by online and offline channels. This includes customers making inquiries via e-mail, 1-800-ASK-USPS, other toll-free contact centers, or the Business Service Network (BSN), as well as customers with product-specific service or support issues.

Categories of Records in the System

1. *Customer information:* customer and key contact name, mail and e-mail address, phone and/or fax number; customer ID(s); title, role, and employment status; company name, location, type and URL; vendor and/or contractor information.
2. *Identity verification information:* last four digits of Social Security number (SSN), username and/or password, D-U-N-S Number, mailer ID number, publisher ID number, security level and clearances, and business customer number.
3. *Product and/or service use information:* product and/or service type, product numbers, technology specifications, quantity ordered, logon and product use dates and times, case number, pickup number, article number, and ticket number.
4. *Payment information:* credit and/or debit card number, type, and expiration date; billing information; checks, money orders, or other payment method.

5. *Customer preferences:* drop ship sites and media preference.
6. *Service inquiries and correspondence:* contact history; nature of inquiry, dates and times, comments, status, resolution, and Postal Service personnel involved.

Authority for Maintenance of the System

39 U.S.C. 401, 403, and 404.

Purpose(s)

1. To enable review and response services for customer inquiries and concerns regarding the Postal Service and its products and services.
2. To ensure that customer accounts and needs are attended to in a timely manner.

Routine Uses of Records in the System

The standard routine uses for customer-related systems apply.

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

Storage

Automated databases, computer storage media, and paper.

Retrievability

By customer name, customer ID(s), mail or e-mail address, phone number, customer account number, case number, article number, pickup number, and last four digits of SSN, ZIP Code, or other customer identifier.

Safeguards

Paper records, computers, and computer storage tapes and disks are maintained in controlled-access areas or under general supervision of program personnel. Computers are protected by a cipher lock system, card key system, or other physical access control methods. Computer systems are also protected with an installed security software package, computer logon identifications, and operating system controls including access controls, terminal and use identifications, and file management. Online data transmissions are protected by encryption.

Access to these records is limited to authorized personnel, who must be identified with a badge. Contractors must provide similar protection subject to a security compliance review by the Postal Inspection Service.

Retention and Disposal

Customer care records for *www.usps.com* products are retained for 90 days. Records related to 1-800-ASK-USPS, Delivery Confirmation, Special Services, and international call centers are retained for 1 year. Customer complaint records are retained for 3 years. Business Service Network records are retained for 5 years. Other records are retained for 2 years after resolution of the inquiry. Records are deleted or destroyed at the end of the retention period.

System Manager(s) and Address:

VICE PRESIDENT AND CONSUMER ADVOCATE
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-2200

Notification Procedure

Customers wanting to know if information about them is maintained in this system of records must address inquiries to

the system manager in writing. Inquiries should include name, address, and other identifying information.

Record Access Procedures

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

Contesting Record Procedures

See Notification Procedures and Record Access Procedures above.

Record Source Categories

Customers.

USPS 540.000

System Name

Customer Delivery Instructions

System Location

Postal Service Headquarters, Prohibitory Order Processing Center, districts, Information Systems Service Centers (ISSC), and Post Offices.

Categories of Individuals Covered by the System

1. Customers requesting delivery of mail through an agent and the agent to whom the mail is to be delivered.
2. Customers who are visually disabled and cannot use or read conventionally printed material and who are receiving postage-free service in their delivery areas.
3. Customers whose mailboxes do not comply with Postal Service standards and regulations.
4. Customers who elect to have their name and address, or the name and address of their children under 19 years of age or a deceased spouse, placed on the list of individuals who do not want to receive sexually oriented advertisements through the mail.

Categories of Records in the System

1. *Customer information:* name, address, phone number, customer ID(s), signature, application number, names and birth dates of children under 19; reports of mailbox irregularities and date; postmaster signature.
2. *Verification information:* photocopies of IDs, customer name, address, signature, statement from competent authority as being visually impaired.
3. *Agency information:* agent name, address, signature, and phone number.

Authority for Maintenance of the System

39 U.S.C. 401, 403, 404, 3010, and 3403.

Purpose(s)

1. To provide for efficient and secure mail delivery services.
2. To permit authorized delivery of mail to the addressee's agent.
3. To enable the efficient processing of mail for visually disabled customers.
4. To protect customers from mail fraud and identity theft.

5. To maintain a list, available to mailers of sexually oriented advertisements (SOAs), of individuals desiring not to receive such matter through the mail.

Routine Uses of Records in the System

In addition to the standard routine uses for customer-related systems, the following additional routine use also applies:

Information may be disclosed for the purpose of identifying an address as an address of an agent to whom mail is delivered on behalf of other persons. This routine use does not authorize the disclosure of the identities of persons on behalf of whom agents receive mail.

All routine uses are subject to the following exception:

Information concerning an individual who has filed an appropriate protective court order with the postmaster will not be disclosed under any of the general routine uses except pursuant to the order of a court of competent jurisdiction.

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

Storage

Automated databases, computer storage media, and paper.

Retrievability

By customer name, address, and application number, or by customer ID(s).

Safeguards

Records are kept in file cabinets or computer storage with access limited to those individuals whose official duties require such access. Contractors are subject to contract controls and unannounced on-site audits and inspection by the Postal Inspection Service. Automated records are subject to computer center access controls.

Retention and Disposal

Records related to requests not to receive sexually oriented advertisements are retained for up to 5 years after request.

Other records are retained for 1 year from the date the customer relocates, cancels an order, corrects a cited mailbox irregularity, or terminates the special instruction.

Records are deleted or destroyed at the end of the retention period.

System Manager(s) and Address:

- *For SOA records:*

VICE PRESIDENT
PRICING AND CLASSIFICATION
UNITED STATES POSTAL SERVICE
1735 N LYNN STREET
ARLINGTON VA 22209-6003

- *For other delivery records:*

VICE PRESIDENT
DELIVERY AND RETAIL
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-1600

Notification Procedure

Customers wanting to know if information about them is maintained in this system pertaining to mail delivery by agents, noncompliant mailboxes, or with regard to free matter for the visually disabled, must address inquiries to their local

Appendix – Privacy Act Systems of Records

postmasters. Customers should include name, address, and other identifying information.

Customers wanting to know if information about them is maintained in this system pertaining to requests not to receive sexually oriented advertising must address inquiries to the system manager. Customers should include name, address, application number, and the date of filing, if applicable.

Record Access Procedures

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

Contesting Record Procedures

See Notification Procedures and Record Access Procedures above.

Record Source Categories

Customers; cosigners of the request for delivery of mail through an agent; medical personnel or other competent authorities; and Postal Service personnel.

USPS 550.000

System Name Auction Files

System Location

Postal Service Mail Recovery Centers, Information Systems Service Centers (ISSC), participating Post Offices and contractor sites.

Categories of Individuals Covered by the System

Customers who participate in or request information about Postal Service auctions.

Categories of Records in the System

1. *Customer information:* name, customer ID(s), mail and e-mail address, and phone number.
2. *Payment information:* online transaction information, credit and/or debit card number, type, and expiration date; check, or money order.
3. *Customer feedback:* means of referral.

Authority for Maintenance of the System

39 U.S.C. 401, 403, and 404.

Purpose(s)

1. To maintain a list of names and addresses of customers participating in or requesting information about auctions.
2. To accurately process delivery and payment.

Routine Uses of Records in the System

The standard routine uses for customer-related systems apply.

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

Storage

Automated databases, computer storage media, and paper.

Retrievability

By customer name, customer ID(s), or other identifier.

Safeguards

Paper records and disks are kept in locked cabinets. Online data is password protected.

Retention and Disposal

Records are retained for up to 1 year after entry.

Records are deleted or destroyed at the end of the retention period.

System Manager(s) and Address:

VICE PRESIDENT AND CONSUMER ADVOCATE
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-2200

Notification Procedure

Customers wanting to know if information about them is maintained in this system must address inquiries to the postmaster of the participating Post Office, or to the system manager for online auctions. Inquiries must contain full name, address, and other identifying information.

Record Access Procedures

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

Contesting Record Procedures

See Notification Procedures and Record Access Procedures above.

Record Source Categories

Customers.

USPS 560.000

System Name Financial Transactions

System Location

Postal Service Headquarters; Information Systems Service Centers; Accounting Service Centers; anti-money laundering support group; and contractor sites.

Categories of Individuals Covered by the System

1. Customers who use online payment or funds transfer services.

2. Customers who file claims or make inquiries related to online payment services, funds transfers, money orders, and stored-value cards.
3. Customers who purchase funds transfers or stored-value cards in an amount of \$1,000 or more per day, or money orders in an amount of \$3,000 or more per day, or who purchase or redeem any such services in a manner requiring collection of information as potential suspicious activities under anti-money laundering requirements. Recipients of funds transfers and the beneficiaries of funds from money orders totaling \$10,000 in one day.

Categories of Records in the System

1. *Customer information:* name, customer ID(s), mail and e-mail address, telephone number, occupation, type of business, and customer history.
2. *Identity verification information:* date of birth, username and/or ID, password, Social Security number (SSN) or tax ID number, and driver's license number (or other type of ID if driver's license is not available, such as alien registration number, passport number, military ID, tax ID number).
Note: For online payment services, SSNs are collected, but not retained, in order to verify ID.
3. *Billers registered for online payment services:* biller name and contact information, bill detail, and bill summaries.
4. *Transaction information:* name, address, and phone number of purchaser, payee, and biller; amount, date, and location; credit and/or debit card number, type, and expiration; sales, refunds, and fees; type of service selected and status; sender and recipient bank account and routing number; bill detail and summaries; transaction number, serial number, and/or reference number or other identifying number, pay out agent name and address; type of payment, currency, and exchange rate; Post Office information such as location, phone number, and terminal; employee ID numbers, license number and state, and employee comments.
5. *Information to determine creditworthiness:* period at current residence, previous address, period of time with same phone number.
6. *Information related to claims and inquiries:* name, address, phone number, signature, SSN, location where product was purchased, date of issue, amount, serial number, and claim number.

Authority for Maintenance of the System

39 U.S.C. 401, 403, & 404, and 31 U.S.C. 5318, 5325, 5331 and 7701.

Purpose(s)

1. To provide financial products and services.
2. To respond to inquiries and claims related to financial products and services.
3. To fulfill requirements of anti-money laundering statutes and regulations.

Routine Uses of Records in the System

The standard routine uses for customer-related systems apply. Legally required disclosures to agencies for law enforcement purposes include disclosures of information relating to money orders, funds transfers, and stored-value cards, as required by anti-money laundering statutes and regulations.

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

Storage

Automated database, computer storage media, microfiche, and paper.

Retrievability

For online payment and funds transfer services, information is retrieved by customer name, customer ID(s), transaction number, or address.

Claim information is retrieved by name of purchaser or payee, claim number, serial number, transaction number, check number, customer ID(s), or ZIP Code.

Information related to anti-money laundering is retrieved by customer name; SSN; alien registration, passport, or driver's license number; serial number; transaction number; ZIP Code; transaction date; data entry operator number; and employee comments.

Safeguards

Paper records, computers, and computer storage tapes and disks are maintained in controlled-access areas or under general supervision of program personnel. Computers are protected by a cipher lock system, card key system, or other physical access control methods. Computer systems are also protected with an installed security software package, computer logon identifications, and operating system controls including access controls, terminal and use identifications, and file management. Online data transmissions are protected by encryption.

Access to these records is limited to authorized personnel. Contractors must provide similar protection subject to contract controls and a security compliance review by the Postal Inspection Service.

Retention and Disposal

Summary records, including bill due date, bill amount, biller information, biller representation of account number, and the various status indicators, are retained for 2 years from the date of processing.

For funds transfers, transaction records are retained for 3 years.

Records related to claims are retained for up to 3 years from date of final action on the claim.

Forms related to fulfillment of anti-money laundering requirements are retained for 5 years from the end of the calendar quarter in which they were created.

Related automated records are retained for the same 5-year period and purged from the system quarterly after the date of creation.

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Enrollment records related to online payment services are retained for 7 years after the subscriber's account ceases to be active or the service is cancelled.

Account banking records, including payment history, Demand Deposit Account (DDA) number, and routing number, are retained for 7 years from the date of processing.

Records are deleted or destroyed at the end of the retention period.

System Manager(s) and Address:

CHIEF FINANCIAL OFFICER AND EXECUTIVE VICE
PRESIDENT

UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-5000

CHIEF MARKETING OFFICER AND SENIOR VICE
PRESIDENT

UNITED STATES POSTAL SERVICE
1735 N LYNN ST
ARLINGTON VA 22209-6000

Notification Procedure

For online payment services, funds transfers, and stored-value cards, individuals wanting to know if information about them is maintained in this system must address inquiries in writing to the chief marketing officer. Inquiries must contain name, address, and other identifying information, as well as the transaction number for funds transfers.

For money order claims and anti-money laundering documentation, inquiries should be addressed to the chief financial officer. Inquiries must include name, address, or other identifying information of the purchaser (such as driver's license, alien registration number, or passport number, etc.), and serial or transaction number. Information collected for anti-money laundering purposes will only be provided in accordance with Federal anti-money laundering laws and regulations.

Record Access Procedures

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

Contesting Record Procedures

See Notification Procedures and Record Access Procedures above.

Record Source Categories

Customers, recipients, financial institutions, and Postal Service employees.

USPS 570.100

System Name

Trust Funds and Transaction Records

System Location

Postal Service Headquarters Marketing, Information Systems Service Centers (ISSC), district offices, Post Offices, and detached mailing units.

Categories of Individuals Covered by the System

Customers who are users of trust fund payment accounts.

Categories of Records in the System

1. *Customer information:* customer and key contact name, mail and e-mail address, phone and fax number(s); D-U-N-S Number; customer ID(s), taxpayer ID number.
2. *Transactional information:* permit authorizations and numbers; postage paid; postage class transaction dates; volume, weight, and revenue of mailing; postage indicium created; estimated annual postage; percent by mailing type; type of user; mailing data files, including Postal Service location where the mail was entered.
3. *Information necessary for processing electronic payments:* bank name; contact name; bank address and telephone number; bank account number; bank transit ABA number; voided check; credit and/or debit card number, type, and expiration date; Automated Clearing House (ACH) information.

Authority for Maintenance of the System

39 U.S.C. 401, 403, and 404.

Purpose(s)

1. To establish and maintain trust fund accounts and process payments.
2. To ensure revenue protection.
3. To provide information and updates to users of these accounts.
4. To enhance understanding and fulfillment of customer needs.

Routine Uses of Records in the System

The standard routine uses for customer-related systems apply.

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 customer name or customer ID(s), account number, and/or address.

Safeguards

Paper records, computers, and computer storage tapes and disks are maintained in controlled-access areas or under general supervision of program personnel. Computers are protected by a cipher lock system, card key system, or other physical access control methods. Computer systems are also protected with an installed security software package, computer logon identifications, and operating system controls including access controls, terminal and use identifications, and file management. Online data transmissions are protected by encryption.

Access to these records is limited to authorized personnel, who must be identified with a badge. Contractors must provide similar protection subject to contract controls and a security compliance review by the Postal Inspection Service.

Retention and Disposal

ACH records are retained for up to 2 years.

Other records in this system are retained for up to 4 years after the relationship ends. Records are deleted or destroyed at the end of the retention period.

System Manager(s) and Address:

CHIEF MARKETING OFFICER AND SENIOR VICE
PRESIDENT
UNITED STATES POSTAL SERVICE
1735 N LYNN ST
ARLINGTON VA 22209-6000

Notification Procedure

To access permit records, customers must make a written request to their local postmaster. Correspondence must include name, address, account number, company name, mailing location, and a clear description of the issue.

To access all other records, customers must make a written request to the system manager. Correspondence must include name, address, account numbers, and other identifying information.

Record Access Procedures

Requests for access must be made in accordance with the Notification Procedure above and the Postal Service 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

Customers.

USPS 570.200

System Name

Meter Postage and PC Postage Customer Data and Transaction Records

System Location

Postal Service Headquarters Marketing, Postal Service facilities, Information Systems Security Centers (ISSC), and partner locations.

Categories of Individuals Covered by the System

Postage evidencing system users.

Categories of Records in the System

1. *Customer information:* customer ID(s), contact name, address, and telephone number, company name, and change of address information.
2. *Identification information:* business customer number, license number, date of license issuance, device ID number, device model number, and certificate serial number.
3. *Business-specific information:* estimated annual postage and annual percentage of mail by type, type of usage, and primary business function.

4. *Transactional information:* Post Office where mail is entered; number, amount, and date of postage purchases; ascending and descending register values; amount of unused postage refunded; contact telephone number; destinating 5-digit ZIP Code, date, and rate category of each indicium created; and transaction documents.
5. *Financial information:* credit and/or debit card number, type, expiration date, and transaction number; check and electronic fund transfer information; Automated Clearing House (ACH) information.

Authority for Maintenance of the System

39 U.S.C. 401, 403, and 404.

Purpose(s)

1. To enable responsible administration of postage evidencing system activities.
2. To enhance understanding and fulfillment of customer needs.

Routine Uses of Records in the System

In addition to the standard routine uses for customer-related systems, the following additional routine use also applies:

The name and address of the holder of a postage meter license authorizing use of a postage meter printing a specified indicium will be furnished to any person provided the holder is using the license for a business or firm.

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

Storage

Automated databases, computer storage media, and paper.

Retrievability

By customer name and by numeric file of postage evidencing systems ID number, by customer ID(s), or customer license number.

Safeguards

Paper records and computer storage media are maintained in closed file cabinets in secured facilities. Automated records are protected by computer password. Information obtained from users over the Internet is transmitted electronically to the Postal Service by authorized postage evidencing system providers via a virtual private network.

Retention and Disposal

ACH records are retained for up to 2 years. Records of payment are retained for up to 7 years.

Other records in this system are retained for up to 4 years after final entry or the duration of the license.

Records are deleted or destroyed at the end of the retention period.

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System Manager(s) and Address:

CHIEF MARKETING OFFICER AND SENIOR VICE
PRESIDENT
UNITED STATES POSTAL SERVICE
1735 N LYNN ST
ARLINGTON VA 22209-6000

Notification Procedure

Customers wanting to know if information about them is maintained in this system of records must address inquires in writing to:

MANAGER
POSTAGE TECHNOLOGY MANAGEMENT
UNITED STATES POSTAL SERVICE
1735 N LYNN ST
ARLINGTON VA 22209-6370

Inquiries should include the individual's name as it appears on the postage evidencing system license and the license number.

Record Access Procedures

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

Contesting Record Procedures

See Notification Procedures and Record Access Procedures above.

Record Source Categories

Customers, authorized service providers of postage evidencing systems, and Postal Service personnel.

USPS 580.000

System Name

Post Office and Retail Services

System Location

Postal Service Headquarters, Consumer Advocate; Information Systems Service Centers (ISSC); Accounting Service Centers; and Postal Service facilities, including Post Offices (New Jersey, as an exception, does not store passport information in Post Offices), international claims and inquiry offices, and contractor locations.

Categories of Individuals Covered by the System

1. Customers who apply for or purchase products and services at Post Offices or other retail sites. This includes products and services related to passports, Post Office boxes, caller services, and self-service equipment.
2. Senders and recipients of special mail services.
3. Authorized users of Post Office boxes and caller services.
4. Customers with inquiries or claims relating to special mail services.

Categories of Records in the System

1. *Customer information:* name, customer ID(s), company name, phone number, mail and e-mail

address, record of payment, passport applications and a description of passport services rendered, Post Office box and caller service numbers.

2. *Identity verification and biometric information:* driver's license; two forms of ID; signature; photographic image via self-service equipment; fingerprints, date of birth, and Social Security numbers (SSNs) as required for passports by the State Department.
3. *Recipient information:* name, address, and signature.
4. Names and addresses of persons authorized to access a Post Office box or caller service.
5. *Claim and inquiry information:* mailer and addressee name, mail and e-mail address, and phone number; claimant SSN and signature; claim or inquiry description, number, and status.
6. *Payment information:* credit and/or debit card number, type, and expiration date.
7. *Product information:* article number.

Authority for Maintenance of the System

39 U.S.C. 401, 403, 404, 411; 22 U.S.C. 214, and 31 U.S.C. 7701.

Purpose(s)

1. To enable customers to apply for and purchase nonfinancial products and services at Post Offices and other retail locations.
2. To ensure accurate mail delivery.
3. To respond to inquiries and claims related to special mail services.

Routine Uses of Records in the System

In addition to the standard routine uses for customer-related systems, the following additional routine uses also apply with the exception noted below:

- a. Disclosure of boxholder information may be made to a federal, state, or local government agency upon prior written certification that the information is required for the performance of its duties. A copy of PS Form 1093 may be furnished.
- b. The name or address of the holder of a Post Office box may be disclosed to a person empowered to serve legal process, or the attorney for a party in whose behalf service will be made, or a party who is acting pro se, on receipt of written information that meets prescribed certification requirements. A copy of the PS Form 1093 will not be furnished.
- c. Disclosure of boxholder information may be made, on prior written certification from a foreign government agency citing the relevance of the information to an indication of a violation or potential violation of law and its responsibility for investigating or prosecuting such violation, and only if the address is (1) outside the United States and its territories, and (2) within the territorial boundaries of the requesting foreign government. A copy of PS Form 1093 may be furnished.

All routine uses are subject to the following exception:

Information concerning an individual boxholder who has filed an appropriate protective court order with the postmaster will not be disclosed under any routine use except pursuant to the order of a court of competent jurisdiction.

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

Storage

Automated databases, computer storage media, and paper.

Retrievability

By name, customer ID(s), ZIP Code, article number, claim number, Post Office box or caller service number, check number, or debit/credit card number.

Safeguards

Paper records, computers, and computer storage tapes and disks are maintained in controlled-access areas or under general supervision of program personnel. Computers are protected by a cipher lock system, card key system, or other physical access control methods. Computer systems are also protected with an installed security software package, computer logon identifications, and operating system controls including access controls, terminal and use identifications, and file management. Online data transmissions are protected by encryption.

Access to these records is limited to authorized personnel, who must be identified with a badge. Contractors must provide similar protection subject to contract controls and a security compliance review by the Postal Inspection Service.

Retention and Disposal

Passport applications are mailed on the day of acceptance with fees and documentation. Records related to passports are destroyed after 4 months.

Records related to Special Services for domestic and International Express Mail are retained for up to 1 year. Domestic and international Special Services records are retained for 2 years. Records relating to Post Office boxes and caller services are retained for up to 2 years after the customer relationship ends. Records collected via self-service equipment are retained for up to 2 years. Records related to credit and/or debit card transactions are retained for 2 years. Records related to inquiries and claims are retained for up to 3 years from final action on the claim. Records related to retail transactions are retained for up to 5 years. Records are deleted or destroyed at the end of the retention period.

System Manager(s) and Address:

CHIEF MARKETING OFFICER AND SENIOR VICE
PRESIDENT
UNITED STATES POSTAL SERVICE
1735 N LYNN ST
ARLINGTON VA 22209-6000

SENIOR VICE PRESIDENT
OPERATIONS
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-2700

Notification Procedure

For records relating to Post Office boxes, caller services, self-service, and passports, inquiries made in person must be made by the subject individual at the local Post Office. Requestors must identify themselves with a driver's license or military, government, or other form of acceptable identification.

Note: For passports, inquiries are best directed to the Department of State, which maintains the original case file.

For Special Services, information can be obtained from the facility where the service was obtained, or can be accessed on www.usps.com. Inquiries should include name, date of mailing,

and article number. For Special Services claims, customers can write a letter, including name, date of claim, and claim number, to the head of the facility where the claim was filed, or can call 1-888-601-9328.

Record Access Procedures

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

Contesting Record Procedures

See Notification Procedures and Record Access Procedures above.

Record Source Categories

Customers.

USPS 590.000 System Name Sales, Marketing, Events, and Publications

System Location

Postal Service Headquarters Marketing and Public Policy, Information Systems Service Centers (ISSC), National Customer Service Center, Area and District Postal Service facilities, Post Offices, and contractor sites.

Categories of Individuals Covered by the System

Customers who interact with Postal Service sales personnel, respond to direct marketing messages, request publications, respond to contests and surveys, and attend Postal Service events.

Categories of Records in the System

1. *Customer information:* customer and key contacts' names, mail and e-mail addresses, phone, fax and pager numbers; job descriptions, titles, and roles; other names and e-mails provided by customers.
2. *Identifying information:* customer ID(s), D-U-N-S Numbers, Postal Service account numbers, meter numbers, and signatures.
3. *Business-specific information:* firm name, size, and years in business; number of employees; sales and revenue information; business sites and locations; URLs; company age; industrial classification numbers; use of Postal Service and competitors products and services; types of customers served; customer equipment and services; advertising agency and spending; names of Postal Service employees serving the firm; and calls made.
4. *Information specific to companies that act as suppliers to Postal Service:* contract start and end dates, contract award number, contract value, products and/or services sold under contract.
5. Information provided by customers as part of a survey or contest.
6. *Payment information:* credit and/or debit card number, type, and expiration date, and check information; Automated Clearing House (ACH) information.
7. *Event information:* name of event; role at event; itinerary; and membership in a PCC.

Appendix – Privacy Act Systems of Records

8. *Customer preferences*: preferences for badge name and accommodations.

Authority for Maintenance of the System

39 U.S.C. 401, 403, and 404.

Purpose(s)

1. To understand the needs of customers and improve Postal Service sales and marketing efforts.
2. To provide appropriate materials and publications to customers.
3. To conduct registration for Postal Service and related events.

Routine Uses of Records in the System

The standard routine uses for customer-related systems apply.

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

Storage

Automated databases, computer storage media, and paper.

Retrievability

For sales, events, and publications, information is retrieved by customer name or customer ID(s), mail or e-mail address, and phone number.

For direct marketing, information is retrieved by Standard Industry Code (SIC) or North American Industry Classification System (NAISC) number, and company name.

Safeguards

For sales, events, and publications, paper records and computer storage tapes and disks are maintained in controlled-access areas or under general supervision of program personnel. Computers containing information are located in controlled-access areas with personnel access controlled by a cipher lock system, card key system, or other physical access control method, as appropriate. Authorized persons must be identified by a badge. Computer systems are protected with an installed security software package, computer logon identifications, and operating system controls including access controls, terminal and user identifications, and file management. Online data transmission is protected by encryption.

For direct marketing, paper records and computer storage tapes and disks are maintained in controlled-access areas or under general scrutiny of program/contractor personnel. Access is controlled by logon ID and password as authorized by the Marketing organization via secure Web site. Within the secured storage facility, authorized persons must be identified by a badge. Online data transmission is protected by encryption.

Contractors must provide similar protections subject to contract controls and a security compliance review by the Postal Inspection Service.

Retention and Disposal

Records relating to organizations and publication mailing lists are retained until the customer ceases to participate. ACH records are retained for up to 2 years. Records relating to direct marketing, advertising, and promotions are retained for 5 years.

Other records are retained for 3 years after the relationship ends.

Records are deleted or destroyed at the end of the retention period.

System Manager(s) and Address:

CHIEF MARKETING OFFICER AND SENIOR VICE
PRESIDENT
UNITED STATES POSTAL SERVICE
1735 N LYNN ST
ARLINGTON VA 22209-6000

Notification Procedure

For information pertaining to sales, inquiries should be addressed to:

OFFICE OF SALES PERFORMANCE ASSESSMENT AND
ADMINISTRATION
1735 N LYNN ST
ARLINGTON VA 22209-6610

Customers wanting to know if other information about them is maintained in this system of records must address inquiries in writing to the chief marketing officer, and include their name and address.

Record Access Procedures

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

Contesting Record Procedures

See Notification Procedures and Record Access Procedures above.

Record Source Categories

Customers, Postal Service personnel, and list providers.

USPS 600.000

System Name International Services

System Location

Postal Service Headquarters, Information Systems Service Centers (ISSC), and Postal Service facilities.

Categories of Individuals Covered by the System

Customers shipping to or from international locations.

Categories of Records in the System

1. *Customer information*: customer name, customer ID(s), and contact information.
2. Name and address of senders and addressees.
3. *Information pertaining to mailings*: contents, order number, volume, destination, weight, origin, and type of mailing.
4. Customer barcode scan data.
5. Company Name, contact name, title, phone and fax number, mail and email address, after-hours contact name and phone number, Tax ID number, permit account number, CAPS account number

Authority for Maintenance of the System

39 U.S.C. 401, 403, and 404.

Purpose(s)

1. To provide international mailings and business services.
2. To provide Postal Service scan data to customers for mail tracking purposes.
3. To support customized mail agreements with international customers.
4. To satisfy reporting requirements for customs purposes.

Routine Uses of Records in the System

The standard routine uses for customer-related systems apply.

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

Storage

Automated databases, computer storage media, and paper.

Retrievability

By customer name, ID number(s).

Safeguards

Paper records and computer storage tapes and disks are maintained in controlled-access areas or under general supervision of program personnel. Hardware is stored in secure cabinets and hardcopy materials are stored in locked storage cabinets. Data is firewall protected and accessible by the customer by username and password. Postal Service access is restricted to authorized personnel.

Retention and Disposal

Records related to the Pre-Customs Advisory System are retained for 5 years and then erased, according to the requirements of domestic and foreign Customs Services.

Other records are retained for 3 years after the relationship ends.

Records are deleted or destroyed at the end of the retention period.

System Manager(s) and Address:

VICE PRESIDENT
INTERNATIONAL BUSINESS
UNITED STATES POSTAL SERVICE
1735 N LYNN ST
ARLINGTON VA 22209-6002

Notification Procedure

Customers wanting to know if other information about them is maintained in this system of records must address inquiries in writing to the system manager, and include their name and address.

Record Access Procedures

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

Contesting Record Procedures

See Notification Procedures and Record Access Procedures above.

Record Source Categories

Customers and Postal Service personnel.

USPS 610.000

System Name Identity and Document Verification Services

System Location

Postal Service Marketing, Headquarters; Information Systems Service Centers (ISSC); and contractor sites.

Categories of Individuals Covered by the System

Customers who apply for identity and document verification services.

Categories of Records in the System

1. *Customer information:* name, address, customer ID(s), telephone number, mail and e-mail address, date of birth, place of birth, company name, title and role, and employment status.
2. Names and contact information of users who are authorized to have access to data.
3. *Verification and payment information:* credit and/or debit card information or other account number, government-issued ID type and number, verification question and answer, and payment confirmation code.
Note: Social Security numbers (SSN) and credit and/or debit card information are collected, but not stored, in order to verify ID.
4. Biometric information including fingerprint, photograph, height, weight, and iris scans.
Note: Information may be collected, secured, and returned to customer, but not stored.
5. *Digital certificate information:* customer's public key(s), certificate serial numbers, distinguished name, effective dates of authorized certificates, certificate algorithm, date of revocation or expiration of certificate, and Postal Service-authorized digital signature.
6. *Transaction information:* clerk signature; product use and inquiries.
7. Electronic information related to encrypted documents.

Authority for Maintenance of the System

39 U.S.C. 401, 403, and 404.

Purpose(s)

1. To provide services related to identity and document verification services.
2. To issue and manage public key certificates and/or electronic postmarks.
3. To provide secure mailing services.

Routine Uses of Records in the System

The standard routine uses for customer-related systems apply.

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

Storage

Automated databases, computer storage media, and paper.

Appendix – Privacy Act Systems of Records

Retrievability

By customer name, customer ID(s), distinguished name, certificate serial number, receipt number, and transaction date.

Safeguards

For public keys, hardcopy records and computer records are stored in a building with access controlled by guards and room access controlled by card readers. Information in the database is protected by a security architecture of several levels that includes an asynchronous gateway, network firewall, operating security system, and database software security architecture. Internal access to the database is limited to the system administrator, database administrator, and designated support personnel. Key pairs are protected against cryptanalysis by encrypting the private key and by using a shared secret algorithm to protect the encryption key, and the certificate authority key is stored in a separate, tamperproof, hardware device. Activities are audited, and archived information is protected from corruption, deletion, and modification.

For authentication services and electronic postmark, electronic data is transmitted via Secure Socket Layer (SSL) encryption to a secured data center. Computer media are stored within a

secured, locked room within the facility. Access to the database is limited to the system administrator, database administrator, and designated support personnel. Paper forms are stored within a secured area within locked cabinets.

Retention and Disposal

Records related to Pending Public Key Certificate Application Files are added as received to an electronic database, moved to the authorized certificate file when they are updated with the required data, and records not updated within 90 days from the date of receipt are destroyed.

Records related to the Public Key Certificate Directory are retained in an electronic database, are consistently updated, and records are destroyed as they are superseded or deleted.

Records related to the Authorized Public Key Certificate Master File are retained in an electronic database for the life of the authorized certificate.

When the certificate is revoked, it is moved to the certificate revocation file.

The Public Key Certificate Revocation List is cut off at the end of each calendar year, and records are destroyed 30 years from the date of cutoff.

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