

RETENTION AND DISPOSAL:

An employee's records remain in the GPAS database until employment with the Department is terminated. Some data is housed temporarily in the GPAS database during each of the Department's annual and midpoint reviews or surveys during which new data is entered directly into the GPAS system by the employee and their evaluation team members and accumulates over the course of the review process. An employee's GPAS Employee Performance Agreement, which identifies their performance elements and standards, and the "Rating of Record," Department's official performance review document, are kept in the employee's EPF for four years. If the employee leaves the Department prior to the end of the 4 years, the GPAS records are forwarded to either the National Personnel Records Center or the agency to which the employee transferred.

SYSTEM MANAGER(S) AND ADDRESS:

Director, Human Resources Group, Office of Management, U.S. Department of Education, 400 Maryland Avenue, SW., FB-6, Room 2E300, Washington, DC 20202-4737. See the Appendix at the end of this system notice for additional system managers.

NOTIFICATION PROCEDURE:

If an employee wishes to determine whether a record exists regarding them in the system of records, the employee should provide the system manager with his name (including all names used) and social security number. The request must meet the requirements of the regulations at Title 5, Code of Federal Regulations, part 34 § 5b.5, including proof of identity. The employee may present a request in person at any of the locations identified for this system of records or address it to the appropriate system manager.

RECORD ACCESS PROCEDURES:

If you wish to gain access to the records regarding you in this system of records, you should contact the system manager at the above address. Your request must meet the regulations at 34 CFR 5b.5, including proof of identity.

CONTESTING RECORD PROCEDURES:

If you wish to contest the content of a record, you should contact the system manager at the above address. Your request must meet the regulations at 34 CFR 5b.7.

RECORD SOURCE CATEGORIES:

The information in this system comes from the Department's integrated personnel/payroll system, the

employees, supervisors, and evaluation team members.

SYSTEM EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

Appendix to 18-05-10*Additional System Locations and System Managers*

Regional Personnel Officer, Human Resources Group, U.S. Department of Education, 61 Forsyth Street, SW., Suite 18T55, Atlanta, GA 30303.

Regional Personnel Officer, Human Resources Group, U.S. Department of Education, 111 N. Canal Street, Room 1084, Chicago, IL 60606.

Regional Personnel Officer, Human Resources Group, U.S. Department of Education, 50 United Nations Plaza, Room 207, San Francisco, CA 94102-4987.

18-05-11**SYSTEM NAME:**

Training Registration and Information System (TRAINS).

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Training and Development Center, Office of Management, U.S. Department of Education, 400 Maryland Avenue, SW., Room 2W210, Washington, DC 20202. See Appendix at the end of this system notice for additional system locations.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

TRAINS contains records of employees who register to attend training classes within the Department or who request training with an outside vendor for which approval and payment is required.

CATEGORIES OF RECORDS IN THE SYSTEM:

TRAINS consists of records relating to an employee's applications for, and participation in, Department training classes (internal training) and training courses, conferences, or other training-related activities offered by vendors or government agencies outside the Department (external training). In addition to the employee's name, the system contains the employee's Social Security Account Number, position level, pay plan, grade, series, organization in which employed, building/room/telephone number, service completion date, supervisor's name, training requests, record of whether the employee attended or did not attend the internal class, and record of approval by principal office and cost of the external training, conference or

training-related activity. For internal training use, TRAINS has tables of course names and categories required to set up internal training classes and report the statistics on training offerings (numbers of attendees for specific courses during specific date parameters, for example). TRAINS also contains tables of users' identification information, building addresses, room locations, and vendor names and addresses.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

5 U.S.C. 4103 (1994).

PURPOSE(S):

TRAINS is used for the following purposes: (1) To track course enrollments; (2) provide course rosters; (3) to produce attendance records for employees who attend internal training classes; (4) to produce reports on individual employees' training activities; (5) to produce reports on training activities conducted by individual organizations within the Department; and (6) by employees to request approval to attend training activities conducted outside the Department.

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

The Department of Education (Department) may disclose information contained in a record in this system of records under the routine uses listed in this notice without the consent of the individual if the disclosure is compatible with the purposes for which the record was collected. These disclosures may be made on a case-by-case basis or, if the Department has complied with the computer matching requirements of the Act, under a computer matching agreement.

(1) *Disclosure for Use by Other Law Enforcement Agencies.* The Department may disclose information to any Federal, State, local, or foreign agency or other public authority responsible for enforcing, investigating, or prosecuting violations of administrative, civil, or criminal law or regulation if that information is relevant to any enforcement, regulatory, investigative, or prosecutive responsibility within the receiving entity's jurisdiction.

(2) *Enforcement Disclosure.* In the event that information in this system of records indicates, either on its face or in connection with other information, a violation or potential violation of any applicable statute, regulation, or order of a competent authority, the Department may disclose the relevant records to the appropriate agency,

whether foreign, Federal, State, Tribal, or local, charged with the responsibility of investigating or prosecuting that violation or charged with enforcing or implementing the statute, executive order, rule, regulation, or order issued pursuant thereto.

(3) *Litigation and Alternative Dispute Resolution (ADR) Disclosures.*

(a) *Introduction.* In the event that one of the parties listed below is involved in litigation or ADR, or has an interest in litigation ADR, the Department may disclose certain records to the parties described in paragraphs (b), (c) and (d) of this routine use under the conditions specified in those paragraphs:

- (i) The Department of Education, or any component of the Department; or
- (ii) Any Department employee in his or her official capacity; or
- (iii) Any Department employee in his or her individual capacity if the Department of Justice (DOJ) has agreed to provide or arrange for representation for the employee;
- (iv) Any Department employee in his or her individual capacity where the agency has agreed to represent the employee; or

(v) The United States where the Department determines that the litigation is likely to affect the Department or any of its components.

(b) *Disclosure to the DOJ.* If the Department determines that disclosure of certain records to the DOJ is relevant and necessary to litigation or ADR, the Department may disclose those records as a routine use to the DOJ.

(c) *Administrative Disclosures.* If the Department determines that disclosure of certain records to an adjudicative body before which the Department is authorized to appear, an individual or entity designated by the Department or otherwise empowered to resolve or mediate disputes is relevant and necessary to the administrative litigation, the Department may disclose those records as a routine use to the adjudicative body, individual, or entity.

(d) *Parties, counsels, representatives and witnesses.* If the Department determines that disclosure of certain records to a party, counsel, representative or witness in an administrative proceeding is relevant and necessary to the litigation, the Department may disclose those records as a routine use to the party, counsel, representative or witness.

(4) *Employment, Benefit, and Contracting Disclosure.*

(a) *For Decisions by the Department.* The Department may disclose a record to a Federal, State, or local agency maintaining civil, criminal, or other relevant enforcement or other pertinent

records, or to another public authority or professional organization, if necessary to obtain information relevant to a Department decision concerning the hiring or retention of an employee or other personnel action, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit.

(b) *For Decisions by Other Public Agencies and Professional Organizations.* The Department may disclose a record to a Federal, State, local, or foreign agency or other public authority or professional organization, in connection with the hiring or retention of an employee or other personnel action, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit, to the extent that the record is relevant and necessary to the receiving entity's decision on the matter.

(5) *Employee Grievance, Complaint or Conduct Disclosure.* The Department may disclose a record in this system of records to another agency of the Federal Government if the record is relevant to one of the following proceedings regarding a present or former employee of the Department: complaint, grievance, discipline or competence determination proceedings. The disclosure may only be made during the course of the proceeding.

(6) *Labor Organization Disclosure.* A component of the Department may disclose records to a labor organization if a contract between the component and a labor organization recognized under Title V of the United States Code, Chapter 71, provides that the Department will disclose personal records relevant to the organization's mission. The disclosures will be made only as authorized by law.

(7) *Freedom of Information Act (FOIA) Advice Disclosure.* The Department may disclose records to the Department of Justice and the Office of Management and Budget if the Department concludes that disclosure is desirable or necessary in determining whether particular records are required to be disclosed under the FOIA.

(8) *Disclosure to the Department of Justice (DOJ).* The Department may disclose records to the DOJ to the extent necessary for obtaining DOJ advice on any matter relevant to an audit, inspection, or other inquiry related to the programs covered by this system.

(9) *Contract Disclosure.* If the Department contracts with an entity for the purposes of performing any function that requires disclosure of records in this system to employees of the

contractor, the Department may disclose the records to those employees. Before entering into such a contract, the Department shall require the contractor to maintain Privacy Act safeguards as required under 5 U.S.C. 552a(m) with respect to the records in the system.

(10) *Research Disclosure.* The Department may disclose records to a researcher if an appropriate official of the Department determines that the individual or organization to which the disclosure would be made is qualified to carry out specific research related to functions or purposes of this system of records. The official may disclose records from this system of records to that researcher solely for the purpose of carrying out that research related to the functions or purposes of this system of records. The researcher shall be required to maintain Privacy Act safeguards with respect to the disclosed records.

(11) *Congressional Member Disclosure.* The Department may disclose records to a member of Congress from the record of an individual in response to an inquiry from the member made at the written request of that individual. The member's right to the information is no greater than the right of the individual who requested it.

(12) *Disclosure to the Office of Management and Budget (OMB) for Credit Reform Act (CRA) Support.* The Department may disclose records to OMB as necessary to fulfill CRA requirements.

DISCLOSURE TO CONSUMER REPORTING AGENCIES:

Not applicable to this system of records.

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

STORAGE:

The records are maintained on a networked computer server with backup procedures standard to all Department servers. Individual offices may maintain a hard copy of the training requests. Since entries are made and stored electronically, any hard copy records are kept following the procedures and/or requirements of the individual principal office. The Training and Development Center maintains hard copies of data such as signed class rosters only until the TRAINS database is updated.

RETRIEVABILITY:

The system is indexed by Social Security number. The Training and Development Center staff, designated

employees, and contractors who support the staff can access data in the system by employee name. Data for reports are retrievable by information from tables such as organization code and identifying codes for course names.

SAFEGUARDS:

All physical access to the Department of Education site, and the sites of Department contractors where this system of records is maintained, is controlled and monitored by security personnel who check each individual entering the building for his or her employee or visitor badge. The computer system employed by the Department of Education offers a high degree of resistance to tampering and circumvention. This security system limits data access to Department of Education and contract staff on a "need-to-know" basis, and controls individual users' ability to access and alter records within the system. All users of this system of records are given a unique user ID with personal identifiers. At a program/server level all interactions by individual users with the system are recorded. Utilities within the program can identify users' last logon and record changes made in registrations. There are four categories of individuals who have some access to this system: training coordinators, executive officers, TDC staff and designated employees and contractors who support TDC activities and system administrators.

RETENTION AND DISPOSAL:

Records of individuals are in the system indefinitely. Employees whose names are no longer in the personnel database are marked for archiving within the system. A utility is available to reactivate the records of an employee who returns to the Department.

SYSTEM MANAGER(S) AND ADDRESS:

Training and Development Group Director, Training and Development Center, Office of Management, U.S. Department of Education, 400 Maryland Avenue, SW., Room 2W210, Washington, DC 20202-4614.

NOTIFICATION PROCEDURE:

If you wish to determine whether a record exists regarding you in the system of records, contact the training coordinator for your principal office and provide the training coordinator with your name and social security number. Your request must meet the requirements of the regulations at 34 CFR 5b.5, including proof of identity. You may also present your request in person at any of the locations identified for this system of records which include

your specific organization or address your request to the system manager at the address listed above.

RECORD ACCESS PROCEDURES:

You may request a copy of your student transcript from TRAINS through the training coordinator for that organization. Managers may request reports that may include the names of employees in that organization from the training coordinator or principal office for that organization. Your request must meet the requirements of the regulations at 34 CFR 5b.5, including proof of identity.

CONTESTING RECORD PROCEDURES:

If you wish to contest the information in this system pertaining to you, you should contact the system manager at the above address. You will need to provide specific information concerning any errors or omissions. It should be noted that not all employee training is entered into TRAINS and therefore cannot be tracked on the student transcript. Questions about external training for which there is no record must be addressed to the appropriate principal office.

RECORD SOURCE CATEGORIES:

The employee database is a subset of information from the Department's employee payroll database. This provides the employee Social Security number, name, grade, job series, and service completion date. Locator information (building/room/phone number) is updated manually from employee-provided information. Supervisor's name is updated manually from employee-provided information. All information regarding external training requests are provided by the employee requesting the training.

SYSTEM EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

Appendix to 18-05-11

Additional System Locations

Capital Place, 555 New Jersey Avenue, NW., Washington, DC 20208.

Mary E. Switzer Building, 330 C Street, SW., Washington, DC 20202.

L'Enfant Plaza, 2100 Corridor, Washington, DC 20202.

ROB-3, 7th and D Streets, SW., Washington, DC 20202.

Portals Building, 1250 Maryland Avenue, SW., Washington, DC 20202.

Region I, McCormack Post Office & Courthouse, Boston, MA 02109.

Region II, 75 Park Place, New York, NY 10007.

Region III, The Wanamaker Building, 100 Penn Square East, Room 502, Philadelphia, PA 19107.

Region IV, 61 Forsyth Street, SW, Atlanta, GA 30303.

Region V, 111 North Canal Street, Chicago, IL 60606.

Region VI, 1999 Bryan Street, Dallas, TX 75201.

Region VII, 10220 North Executive Hills Blvd., Kansas City, MO 64153.

Region VII, 7505 Tiffany Springs Parkway, Kansas City, MO 64153.

Region VIII, 1244 Speer Boulevard, Denver, CO 80204.

Region VIII, 1391 N. Speer Boulevard, Denver, CO 80204.

Region IX, 50 United Nations Plaza, San Francisco, CA 94102.

Region X, 915 Second Avenue, Seattle, WA 98174.

Region X, 1000 Second Avenue, Seattle, WA 98174.

18-05-12

SYSTEM NAME:

Grievances Filed Informally Through the Informal Dispute Resolution Center (IDR Center).

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Informal Dispute Resolution Center, Office of Hearings and Appeals, Office of Management, U.S. Department of Education, L'Enfant Plaza, Room 2100 A, Washington, DC 20202.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

This system contains records on non-bargaining unit employees of the Department regardless of type of appointment, who individually or as a group, request personal relief in a matter of concern or dissatisfaction which is subject to the control of Department management. This includes former employees of the Department for whom a remedy can be provided, as well as applicants.

CATEGORIES OF RECORDS IN THE SYSTEM:

This system consists of IDR Center files.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

5 U.S.C. 1302.

PURPOSE(S):

The information contained in this system is to consider and settle matters of dissatisfaction or concern of covered individuals.

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

The Department of Education (Department) may disclose information contained in a record in this system of records under the routine uses listed in this system of records without the