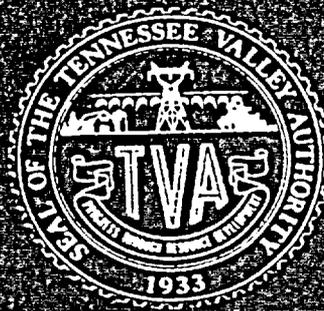


RAS 5965 50-390-CIVP, et. al.

Licensee Exhibit 106

Rec'd 6/20/02

PERSONAL HISTORY RECORD USER'S MANUAL



TVA Exh. 106

TENNESSEE VALLEY AUTHORITY

Division of Personnel

Template = SECY-028

FD 000001

SECY-02

CLEAR REGULATORY COMMISSION

Docket No. 50-390 CVP Official File No. TVA 106
In the matter of NA
Staff _____ IDENTIFIED
Applicant RECEIVED
Intervenor _____ REJECTED _____
Other _____ WITHDRAWN _____
DATE 6/20/02 Witness _____
Clerk BHM

DOCKETED
USNRC

2003 MAR 10 PM 1:23

OFFICE OF THE SECRETARY
RULEMAKINGS AND
ADJUDICATIONS STAFF

PERSONAL HISTORY RECORD
CONTRACTOR HISTORY RECORD

DIVISION OF PERSONNEL
INFORMATION MANAGEMENT SYSTEMS BRANCH

0863A

5/87

FD 000002

TABLE OF CONTENTS

	<u>Page</u>
I. INTRODUCTION	I-1
II. MICROFICHE EQUIPMENT AND SUPPLIES	II-1
A. EQUIPMENT	II-1
B. SUPPLIES	II-1
III. SECURITY OF THE PHR AND CHR	III-1
A. PROCEDURES FOR SAFEGUARDING PHRs AND CHRs	III-1
B. COPIES DISTRIBUTED BY PMU	III-2
IV. CONTENTS OF THE PHR/CHR	IV-1
A. DOCUMENTS SUGGESTED FOR INCLUSION IN THE PHR/CHR	IV-1
B. PHYSICAL CHARACTERISTICS OF DOCUMENTS	IV-3
C. EMPLOYEE/CONTRACTOR REQUESTS TO AMEND/CORRECT PHRs/CHRs	IV-4
D. REMOVAL OF DOCUMENTS FROM THE PHR/CHR	IV-4
V. REQUESTS FOR PHRs/CHRs	V-1
A. ROUTINE REQUESTS	V-1
B. EMERGENCY REQUESTS	V-11
C. OUTSIDE REQUESTS FOR PHRs/CHRs	V-11
D. REQUESTS FOR FORMER EMPLOYEES' PHRs	V-11
E. UNION REQUESTS FOR PHRs	V-14
F. REQUESTS ASSOCIATED WITH FEDERAL TRANSFERS	V-14
VI. SUGGESTIONS FOR OPERATING	VI-1

Introduction

FD 000004

()

)

)

I. INTRODUCTION

The Personal History Record (PHR) system combines the use of the computer and microfilm to accomplish three broad objectives:

- A. Improve security and integrity of the records
- B. Provide service to multiple users simultaneously in a timely manner
- C. Satisfy legislative and regulatory requirements concerning these records

By utilizing the computer, we can file and retrieve PHRs more accurately and at less cost and we can provide copies of PHRs more rapidly. By utilizing microfilm, we can store more information in much less space, control access to the information, and inexpensively provide copies to any number of users at the same time. The PHRs are now stored on 16mm microfilm which is placed in a microfilm jacket. As updates are received, they are filmed and added to the original PHR. Duplicate copies of PHRs are stored in the DPO office of the employee. These serve as a backup to the original and as the DPO's working copy, or field file. When the original is updated, a new field file copy is made and sent to the DPO. Division personnel officers may request a copy of any employee's PHR through the Personnel Microrecords Unit.

In October 1986, the Contractor Information System (CIS) was implemented to record and store data on contractors working at TVA. At the same time, the Contractor History Record (CHR) was created to store documents which support significant events associated with a contractor's term of work at TVA. The Contractor Information Record (form TVA 13043), the Contractor Information Request (form TVA 13046), and the Contractor Employment Authorization (form TVA 13047) are forms which were created to facilitate the collection and entry of contractor data into CIS and the CHR. Procedures and controls associated with the CHR are similar to those used with the PHR. Access to CHRs is granted to all individuals who have been granted access to PHRs; however, contract administrators who have access to CIS and the CHR do not automatically have access to the PHR.

Terminology used throughout this manual and the PHR system is summarized below and on the next page to assist you.

Reader - A device for viewing microfilm/microfiche.

Reader/Printer - A device used to make paper copies from microfilm or microfiche. Although it can be used as a reader, it is really a printer and should be used only as a printer.

Duplicator - A machine which duplicates microfilm/microfiche onto another piece of film.

Microfilm vs. Microfiche (or fiche)

Microfilm is a roll of film.

Microfiche is a flat sheet (usually 4" x 6") of film.

Microfilm Jacket - A mylar jacket with rows or channels into which a piece of microfilm is inserted.

Diazo - A type of film which is used to produce a duplicate from a jacket or another diazo.

Original PHR/CHR - The original film stored in a microfilm jacket and maintained by Personnel Microrecords Unit (PMU).

Field File - The diazo duplicate sent to DPOs or contract administrators to be used as their working copy of the PHR or CHR as well as a backup to the original PHR/CHR.

PHR/CHR Copies - Any copy of a PHR or CHR, produced either by a DPO or by PMU, other than the field file copy.

This manual is intended to provide you with information regarding the control and use of the records described herein. Official TVA policy concerning the PHR may be found in the TVA General Release Manual, III Personnel, Employee Record, a copy of which follows. We suggest that as the instruction is updated in the future a copy be placed in this manual. Parts of that instruction have been copied or paraphrased for use in this manual.

TVA PERSONAL HISTORY RECORDS

This instruction deals with the maintenance of personal history records (PHRs) within TVA. It describes and establishes conditions for the use of the official TVA PHR and duplicate files maintained by offices and divisions (field files). It does not apply to the other special-purpose personnel records and record systems which are briefly described in the last section of this release.

This instruction is in accord with the TVA Codes under II INFORMATION and III SELECTION/PM Section 7; Supplementary Agreements S-5 and S-11:J of the Articles of Agreement; Article III-5 of the Construction and Operating and Maintenance General Agreements; and other codes and instructions which provide for special handling of records concerned with security, debt claims, medical examinations, and grievances. All general provisions contained in the TVA releases under II PRIVACY regarding collection, maintenance, use, and disclosure of personal information in records systems apply fully to personnel records in addition to the special provisions in this release.

This release has the following sections:

Official TVA Personal History Record (PHR)

*Field Personnel Records

Requests for Access to PHRs

Requests for Amendment of PHRs

PHR Security and Access Controls

Responding to Outside Requests for Information

Other Personnel-Related Records

OFFICIAL TVA PERSONAL HISTORY RECORD (PHR)

*The Division of Personnel maintains the official TVA PHR for present employees and for former employees whose records have not been sent to the National Personnel Records Center. The original PHR is maintained on microfilm in a centralized file in Personnel Microrecords Unit. A duplicate copy of the PHR is maintained in the office of the employee's personnel officer to serve as a working copy as well as a backup to the original PHR.

Purpose of PHR

The purpose of the PHR is to provide—assembled in a standardized arrangement, maintained in current and accurate status, and controlled as to availability—information officially recognized and pertinent to personnel actions and record requirements. The PHR serves as a basis, but not the exclusive basis, for appraisal of merit and efficiency in personnel selections. The file is a principal source of information for responding to requests from inside and outside TVA for official information about present and former TVA employees and contains the documents which TVA submits upon request for an "Official Personnel Folder" as described by the Office of Personnel Management under the authority of Executive Order 12107.

Description of PHR Contents

The PHR includes material pertinent to personnel actions and officially recognized record requirements. It does not include debt claim correspondence or correspondence about claims for

III EMPLOYEE RECORD

PM Section 6

unemployment compensation; security data; copies of tests administered; details of TVA medical examinations; records of appeal proceedings such as grievances, equal employment opportunity complaints, and Merit Systems Protection Board appeals; interview reports; reference letters; records of union membership; or copies of or references to letters, memorandums, reference material, and general communications from or with elected officials or political appointees or their staffs which do not contain information based on personal knowledge of an employee's or former employee's qualifications. Also excluded are records belonging to other Federal agencies such as the Office of Workers' Compensation Programs and form-type documents such as letters of commendation that have been sent to large numbers of employees and general announcement-type notices of a pending reduction in force.

The material admitted to the PHR is restricted to items for which authenticity has been confirmed through established procedures, e.g., official TVA forms, signed statements from management representatives and/or accredited representatives of unions recognized by TVA, or signed or sworn statements from the employee.

Subject to the above restrictions, the PHR may include the following:

* **Qualifications information:** evidence of abilities, skills, training, and experience, e.g., application form for TVA employment; supplementary qualification facts from the employee, union representative, or supervisor; test results; service evaluations; job descriptions; TVA medical examination conclusions; information on work assignments not specifically covered in the job description; records of enrollment and progress in employee training programs; and correspondence with and about the employee regarding qualifications and performance, including letters of commendation.

Letters of reprimand, admonishment, caution, or warning are retained until recalled by a written request from the personnel office of the issuing division. When a reprimand, admonishment, caution, or warning is included in or used in support of a notice of adverse, disciplinary, or other personnel action, the letter cannot be recalled unless the action in the notice is canceled. Otherwise, the recall is made at the end of three years or earlier at the option of the employee's division.

Other information: personnel action forms and correspondence with and about the employee pertaining to appointment, status change, leave of absence, separation, or reappointment; and information forms and correspondence regarding veteran status, restoration rights status, or insurance status.

All documents submitted for inclusion in the PHR must meet the physical standards that are necessary for microfilming. Unless otherwise approved by Personnel Microrecords Unit, the document must be the original, no longer than one page, no larger than 8-1/2 by 11 inches, and preferably in black ink on white paper.

Adding Material to the PHR

Appropriate material to be filed in the PHR, other than personnel action forms and related documents, is sent through the division personnel officer to Personnel Microrecords Unit, Knoxville. Application forms, application supplement forms, and other qualifications statements are admitted to the PHR when initiated by appropriate reviewing officers (e.g., employment officers, project personnel officers, examining officers, or division personnel officers). Personnel action forms and related

III EMPLOYEE RECORD

PM Section 6

documents are sent to Personnel Microrecords Unit, Knoxville, for processing and adding to the PHR. Whenever Personnel Microrecords Unit notices that incoming items or items already filed appear to be inaccurate, incomplete, or not in accord with provisions of this release, it takes necessary action to resolve the matter.

*Management instructions to remove, add, or correct any routine files material should be directed to the Supervisor, Personnel Microrecords Unit, Knoxville.

Transfer of PHR

Prior to implementation of the microfilm PHR system, TVA transferred the PHRs of its separated employees to the National Personnel Records Center, St. Louis, Missouri, after five years of inactivity for specific reasons. The center returns PHRs upon request by Personnel for temporary reference or for reemployment purposes. Return time varies but generally is at least three weeks. Microfilmed PHRs are not transferred to the National Personnel Record Center.

Upon notification to TVA by another Federal agency that it desires transfer of the record of a former TVA employee it has appointed, the Employment Branch forwards the official microfilm record to the requesting agency.

FIELD PERSONNEL RECORDS

All personnel records, regardless of their location, must be maintained in accordance with the TVA Code under II PRIVACY, TVA Instruction under II PRIVACY, Procedures/PM Section 6, and the provision in this instruction for protecting the privacy of the individual to whom the record pertains.

Field Files

Offices, divisions, and project personnel offices maintain microfiche copies of the PHRs to serve as a field file for reference purposes and as the backup copy of the original (microfilm) PHR. Each of these microfiche copies of PHR is replaced in whole or in part with an updated copy each time a revision is made in the original PHR in Personnel Microrecords Unit.

Field files of employees transferred within TVA are forwarded to the new employing division. Field files of terminated employees are retained only as long as needed for reference, normally not longer than three months after the date of termination. Destruction of the inactive field file is the responsibility of the division in which it is located.

Supervisor/Administrative Files (S/A Files):

Maintenance of S/A files is discouraged for locations where the microfiche field file and related equipment are readily accessible to the supervisor. However, supervisors, or administrative officers acting for local supervisors, may maintain paper records of personnel information that is required for immediate reference needs in carrying out the supervisor's personnel-related responsibilities. S/A files normally consist of not more than the most recent copy of the employee's job description, form TVA 9880, and service report.

III EMPLOYEE RECORD

PM Section 6

Individual documents in the S/A file are destroyed when superseded or earlier if no longer needed for reference. The entire S/A file is destroyed when the employee leaves the organization component where the file is maintained.

REQUESTS FOR ACCESS TO PHRs

Employees request access to their PHRs through their division personnel officer in person or by mail. All formal requests for access are handled according to the general provisions in TVA Instruction II PRIVACY, Procedures/PM Section 6.

The division personnel officer receiving such a request will acknowledge its receipt and coordinate TVA's response to it as appropriate. The individual may inspect the PHR at a time and place convenient to the individual as far as is consistent with TVA business. The individual may also request copies of material in the record.

*Former employees request the Employment Branch, in person or by mail, for access to the their PHRs. Such requests are handled in accordance with the above procedures.

REQUESTS FOR AMENDMENT OF PHRs

An individual may request amendment or correction of his or her PHR to the extent permitted by the Privacy Act. A request for amendment, including any request by the individual to add or remove record material, should be addressed to the employee's division personnel officer and shall:

1. Be in writing and signed by the individual;
2. Name the TVA record system in which the information is located;
3. Describe the item or items of information to be amended;
4. Describe the nature of the amendment requested; and
5. Give the reasons for the requested change.

*All such requests will be handled in accordance with the general provisions of TVA Instruction under II PRIVACY, Procedures/PM Section 6, including provisions for appeals, notification to previous recipients of amended records, and notations of dispute. All formal requests received by division personnel officers or other TVA personnel should be forwarded immediately to the Chief, Employment Branch, Knoxville, who will coordinate TVA's response.

Note: These provisions do not apply to the routine addition or deletion of PHR material by authorized personnel. See the subsection on "Adding Material to the PHR."

PHR SECURITY AND ACCESS CONTROLS

PHRs are maintained in such a manner as to ensure the security and confidentiality of those records. Taking into consideration the nature and uses of information in the records, such security measures are established as necessary to provide a reasonable degree of protection against unauthorized disclosure, destruction, or modification of personal data.

*Revision

To ensure record security and integrity, PHRs are maintained in locked files or offices when unattended. This includes the original and copies of PHRs and any field records which contain information other than that of a public nature.

PHR Access

All access to PHRs is through division personnel officers and is limited to that necessary for the performance of official TVA duties. No employee may have access to the PHR of a person who is administratively over him/her.

Responsibility of Employees to Whom PHRs are Charged

Copies of the current original PHR that is retained in Personnel Microrecords Unit are provided to division and project personnel officers for their use and for the use of other employees who need the information in the performance of their official TVA duties. The personnel officer is responsible for the security and control of all PHRs received by his/her office. Each personnel officer and other employee to whom the personnel officer charges a PHR is responsible for the following:

1. To see that the PHR is used for TVA-authorized purposes only. This responsibility includes taking all precautionary measures necessary to prevent unauthorized disclosures, e.g.,
 - * a. Routing the PHR in a sealed envelope or a secure package and labeled "Administratively Confidential."
 - b. Establishing the identity of persons to whom information is released. This may be done by noting the organization letterhead used in written inquiries or credentials presented in personal contacts. In telephone inquiries, if the voice is not recognized, a return call should be placed to the listed station claimed.
 - c. Identifying the portion of the record which an inquirer in person may examine and taking such measures as are necessary to limit the examination accordingly and to caution the reviewer about unauthorized disclosures.
2. To comply with conditions of disclosure established in this release.
3. To protect the record from damage.
4. To keep the record on TVA property or in the custody of authorized TVA employees, except as otherwise authorized.
5. To return the PHR promptly to the office of the personnel officer.
6. To notify the personnel officer before a PHR is turned over to another person. This procedure is essential for the personnel officer in maintaining control and accountability for PHRs charged out by him/her.
7. To make certain that those to whom PHRs are made available are aware of these responsibilities.

Reproducing PHR Items

When information authorized to be released can be made available more conveniently by reproducing a copy rather than in some other way or when the request specifies copies of PHR materials, the division personnel officer may have copies reproduced. The office may also certify that the copies are made from the official PHR copy.

III EMPLOYEE RECORD

PM Section 6

Persons requesting copies of PHR items in preparation for grievance hearings are reminded that it is not necessary that such copies be included in materials provided for the grievance hearing record if the purpose is to obtain consideration by reviewing officers since those officers will have access to the complete PHR. The adequacy of introducing PHR items into grievance hearing records by brief identifying reference (name of form, date, etc.) should be considered before requesting copies indiscriminately. However, introducing a complete PHR into a grievance hearing record by reference should be avoided.

When considered necessary by the division personnel officer to facilitate preparation for a hearing, the division provides the employee or the employee's representative one copy of selected PHR items. In event of referral to a referee, the Labor Relations Staff provides a copy of the PHR items that were introduced into the hearing record by reference rather than copy. The division conducting the hearing provides copies of PHR materials required for the completed hearing report when copies of, rather than references to, PHR items have been included in the hearing record.

*Questions about TVA policy on reproducing PHR materials should be addressed to Chief, Research and Analysis Branch, Knoxville.

RESPONDING TO OUTSIDE REQUESTS FOR INFORMATION

The Privacy Act of 1974 forbids disclosure of information from PHRs except as authorized by the Privacy Act. Disclosure of information in violation of the act may subject an employee to a criminal charge punishable by a fine of up to \$5,000 and may also subject TVA to civil liability in damages. Information maintained in TVA PHRs will not be disclosed outside TVA except pursuant to a written request by or prior written consent of the individual to whom the record pertains unless specifically authorized below or in the TVA Code under II PRIVACY. Such authorization does not automatically permit disclosure of records to someone other than the individual. TVA will also bear in mind other considerations concerning disclosure, including, where appropriate, the possible adverse effect such disclosure may have on the individual.

A request for a PHR, in whole or part, from a TVA employee other than the one to whom the record pertains or an employee who needs such information in performance of his/her official TVA duties is handled the same as a request from outside TVA.

General Instructions

In responding to outside requests for information about employees and former employees, the following general provisions apply:

1. In all instances involving INFORMATION NOT OF A PUBLIC NATURE, the identity of the inquirer should be ascertained with reasonable certainty. This may be done by noting the organization letterhead used in written inquiries or by reviewing credentials presented in personal contacts. In telephone inquiries, if the voice is not recognized, a return call should be made to the listed station claimed.

When the request is for information the release of which is not expressly provided for below, the inquirer is required to present a statement signed by the employee or former employee specifically authorizing the release of such information. In certain cases it may be appropriate to inform the inquirer that knowingly or willfully seeking or obtaining access to information about another person under false pretenses is punishable by a fine of up to \$5,000.

2. Except where there are compelling reasons for writing a letter, information in writing should be inserted on such forms as the inquirer provides.

*Revision

III EMPLOYEE RECORD

PM Section 6

3. A copy (machine copy, if response is on a form provided) of responses, including a notation of oral responses, is sent to Personnel Microrecords Unit, Knoxville.
4. In general, the Employment Services Section, Employment Branch, responds to requests about former employees; and the divisions respond to those—except most requests from Members of Congress—about present employees, in accord with delegations made within the divisions. Inquiries to be answered by an employee's division, but received by the Employment Branch, are sent to the appropriate division personnel officer. With the concurrence of the division concerned, the Employment Branch offices may respond to inquiries about present employees in instances in which it is jointly determined that Employment Branch response would be more expeditious or convenient than division response. Also, some inquiries concern employees in more than one division, and the Employment Branch office may most conveniently collect the requested information from each division and prepare a single reply.

The information requested about employees and former employees may include items not available in the PHR. The division office responding about present employees may need to obtain some or all of the information from the Division of Finance. In answering such inquiries about former employees, the Employment Branch office may need to obtain information from the former employee's division, from the Division of Finance, and from the Division of Medical Services when that division agrees that its providing a statement to be included in the Employment Branch reply is more appropriate than a separate division reply. In cases in which information must be obtained from more than one system of records, the required accounting of disclosure (see below) must be made in each of the systems.

5. Requests to verify information are treated under the same constraints as requests to furnish information.

Requests for information of "Public Nature"

TVA recognizes that certain information items are of a public nature (i.e., they do not constitute an invasion of personal privacy) and can be disclosed under the Freedom of Information Act, thereby not requiring the individual's consent prior to disclosure. Those items are: an employee's name, job title, type of appointment, grade, pay rate (if employee is covered by a merit pay plan, the pay range rather than the specific pay rate), dates of employment, and duty station. The release of other information, including home address, actual earnings, and age, is not permitted except as specifically authorized below.

Information items of a public nature, including lists of names, are made available upon request by the Division of Personnel. It is improper to inquire whether the information will be used for political, commercial, or solicitation purposes unless the manner in which the request is phrased calls for a response that in the first instance constitutes an invasion of personal privacy. TVA is entitled to reimbursement for the cost incurred in search and/or duplication in granting requests for these lists. Furthermore, if no "list" of information requested is in existence and a search for new data must be made through the PHRs of the employees, an additional fee may be requested for compiling a new record. If the request refers specifically to the Freedom of Information Act or TVA's published regulations under that act or if the request constitutes an invasion of personal privacy, the request should be transmitted to TVA's Director of Information together with a statement of why the information is not available. In no instances are lists of names sold or rented by TVA unless such action is specifically authorized by law. This prohibition on sale or rental does not include fees for cost of preparation allowable under TVA regulations.

III EMPLOYEE RECORD

PM Section 6

Requests for information Not of a Public Nature

Except as otherwise noted below, the Division of Personnel will respond to all such requests. In all cases, information disclosed will be limited to that necessary to comply with the request.

Administrative, Judicial, or Law Enforcement Proceedings—Information may be disclosed:

1. To make a referral where there is an indication of a violation or potential violation of law, whether criminal, civil, or regulatory in nature, to the appropriate Federal, State, or local agency charged with investigating and prosecuting such violation or enforcing and implementing the statute, rule, regulation, or order. Such disclosures are coordinated with the Office of the General Counsel.
2. In litigation, including presentation of evidence and disclosure to opposing counsel in the course of discovery (by the Office of the General Counsel).
3. To the parties, their representatives, Merit Systems Protection Board representatives, impartial referees, or complaints examiners in Merit Systems Protection Board or Equal Opportunity Commission appeal proceedings, grievance adjustment procedures, or the investigation and decision of discrimination complaints. (Personal information about an individual other than the party to the grievance, complaint, or appeal may be released to the extent that TVA deems it necessary.)
- * 4. In response to a written request from a Federal, State, or local agency in connection with its authorized enforcement of child support or for other valid law enforcement activities. The request must state the purpose for which the information will be used.
5. On receipt of a proper request from a court or police official, to disclose the employee's home address in addition to the other information that may be disclosed under "Requests for Information of 'Public Nature.'" The request must state that an indictment has been returned against the employee or that complaint, information, accusation, or other writ involving nonsupport or a criminal offense has been filed against the employee and the employee's address is needed for service or summons, warrant, subpoena, or other legal process.

Subpoenas—If a subpoena or other judicial order requiring disclosure of a PHR in court or other legal proceedings is served on an employee who has authorized access to it, the Office of the General Counsel should be notified immediately. Subject to the instructions of the Office of the General Counsel, the employee may disclose the contents. However, the employee should retain custody of the record and, if necessary, request permission of counsel or the court to furnish a certified copy of the pertinent part for inclusion in the court record. If the subpoena is served on an employee who does not have authorized access to the record or if the subpoena covers information not available in the record, it is immediately referred to the Office of the General Counsel. When records pertaining to an individual are disclosed pursuant to a court order, TVA will make a reasonable effort to inform the individual of such disclosure when the order becomes a matter of public record.

Government Agencies and Congress—Information may be used:

1. To disclose test results to State employment services.
2. To respond to a request from a Member of Congress regarding the status of an employee, former employee, or applicant. These inquiries are answered over the signature of a Board member or the General Manager.

*Revision

III EMPLOYEE RECORD

PM Section 6

3. To disclose to the Office of Personnel Management or any other agency of the Federal Government having oversight or review authority with regard to TVA activities.
4. To disclose to a State employment security office in response to a request relating to a former employee's claim for unemployment compensation (such requests may be answered by division personnel officers, the Employment Branch, or the Division of Finance).
5. To provide information to a Federal agency, in response to its request, in connection with the hiring or retention of an employee; the letting of a contract; or issuance of a license, grant, or other benefit by the requesting agency.
- * 6. To provide information to the appropriate agency, whether Federal, State, or local, in connection with its oversight review responsibilities or authorized law enforcement activities. Such activities would include, but would not be limited to, certain computer matching programs designed to identify or locate unauthorized recipients under Government entitlement and other programs or persons otherwise in violation of Federal or State Law.
7. To transfer information necessary to support a claim for life insurance benefits to the Office of Federal Employees' Group Life Insurance.

Credit Agencies and Creditors—Such agencies may be given only public-nature type information. If inquirers seek TVA's assistance in getting an employee to make satisfactory arrangements about a debt, they are informed that earnings of TVA employees are subject to garnishment and that claims other than garnishments are brought to the attention of the Employment Services Section, Division of Personnel, TVA, Knoxville, Tennessee 37902. Their letters are referred to that office.

Prospective Private Employers—In reply to inquiries from prospective employers of present or former TVA employees, information about job descriptions and reasons for separation, in addition to information of a public nature, may be given. (Such requests may be answered by the Employment Branch, or for present employees, by the division personnel officer.) Information about service evaluation is not given. When the request is for TVA to suggest possible candidates for employment, response is not made without the candidate's consent.

Personal Response by Supervisors—When an outside inquiry is made directly to a supervisor for personal knowledge about a present or former employee, the supervisor may respond, making clear that the response is based on personal knowledge and is *not* an official TVA response based on the TVA record. The supervisor does not use TVA letterhead for his/her personal response. If the inquiry, however, is received by the personnel officer or other TVA official requesting a personal response by the supervisor, it is not forwarded to the supervisor but rather handled as an official TVA response within the constraints of this instruction.

Information About Decedents—In cases of non-service-connected death, information about age and surviving members of the family may be given by the Division of Finance as available. For providing information in event of a service-connected death, see III DEATH/PM Section 7 about action by the employee's division, the Division of Personnel, and the Information Office. As a general rule, information about deceased individuals should otherwise be released only to executors or administrators of the decedent's estate, surviving spouse, or next of kin.

Payroll, Retirement, Medical, and Other Information—Inquiries or that part of an inquiry relating to payroll, retirement, medical, or other information about an individual are referred to the Division of Finance, Division of Medical Services, or other appropriate organizations for reply or for a statement to include in the reply.

III EMPLOYEE RECORD

PM Section 6

State or Local Tax Authority—Social security account number and place of actual residence shall be disclosed to a State or local tax authority.

Other Disclosures—Information may also be:

1. Transferred to a health insurance carrier if necessary to support a claim for health insurance benefits.
2. Disclosed to union representatives in exercising their responsibilities under TVA collective bargaining agreements.

* **Records of Other Agencies**—Disclosure of information contained in records in TVA possession, but which are the official property of other Federal agencies, will not be disclosed without the prior consent of the owning agency, unless required by Law.

Disclosures Made With Written Consent—Disclosures of employee information pursuant to the express written consent of the individual and not otherwise authorized in this instruction may be made by division personnel officers or the Information Management Systems Branch.

Accounting for Disclosures

TVA maintains an accounting of disclosures, written or oral, from an individual's PHR except those to TVA employees who have a need for the record in the performance of their duties or when such disclosure is of public-type information or aggregate data in which no individual can be identified. This accounting includes:

1. Any necessary written consent authorizing the disclosure and any written documentation required for disclosures for statistical research or law enforcement purposes;
2. The date, nature, and purpose of each disclosure, including the specific information disclosed;
3. The name and address of the person or agency to whom the disclosure is made; and
4. Copies of replies to inquiries or notations of such replies.

This accounting is required even when the disclosure is made at the request of or with the consent of the individual.

The accounting is maintained by the organizations responsible for the record. Organizations maintaining these records must be able to provide information about disclosures on very short notice.

The accounting is used to allow individuals to learn to whom records about themselves have been disclosed and to provide a basis for subsequently advising recipients of records of any correction or notation of dispute made. The accounting is made available to the individual on request except for any accounting of disclosures made to a civil or criminal law enforcement activity.

OTHER PERSONNEL-RELATED RECORDS

TVA maintains other personnel-related records and record systems. Provisions included in other parts of this release regarding requests for employee access to and amendment or correction of

*Revision

III EMPLOYEE RECORD

PM Section 6

records and replies to outside inquiries for information do not apply to these other records and record systems. TVA officials responsible for these records and systems apply provisions established in the notice of the existence of the system published in the *Federal Register* and in the releases under II PRIVACY regarding the handling of such requests and inquiries. Salient features of these provisions are noted below:

Apprentice Training Record System includes both the automated and hard copy records of current and former TVA apprentices. Requests for access and amendment are addressed to the Director of Labor Relations.

Automated Personnel Data system is maintained by the Division of Personnel. The accessibility and distribution of automated data are restricted to protect personal privacy. Distribution of any automated data is limited to uses specifically authorized by the Division of Personnel or as directed by the Director of Equal Opportunity Compliance with respect to minority group data. As an additional safeguard, office or division authority for retrieval of automated personnel data is generally restricted to certain categories of data pertaining to only those employees in that organization. Unauthorized disclosure of the data subjects responsible TVA employees to the same penalties as would disclosure of other personal information. (These penalties are described in II PRIVACY, Procedure/PM Section 6.) The Division of Personnel issues special instructions relating to procedures for requesting and justifying access to automated personnel data and special security provisions to be observed in the use of such data in addition to the provisions applicable to all personnel records in "PHR Security and Access Controls."

Employment Applicant Files are maintained by the Employment Branch, which handles or refers all requests and inquiries related to them.

Grievance Records are maintained by the Labor Relations Staff, which handles all requests and inquiries related to them.

Consultant and Personal Service Contractor Record are maintained by the Division of Personnel with payment records located in the Division of Finance. All requests and inquiries are handled by the Employment Branch, coordinating as necessary with the Division of Finance and the contracting office or division.

Security Records are maintained by the Employment Branch, which handles all requests and inquiries.

Equipment and Supplies

FD 000018

II. MICROFICHE EQUIPMENT AND SUPPLIES

A. EQUIPMENT

Microfiche equipment is the property of the Office Services Branch of the Division of Property and Services. Requests for additional equipment, service on equipment, or transfers of equipment should be directed to the Office Property Unit serving your area through your organization's administrative or management services group. Microfilm equipment and requests related to it are handled like other office equipment such as typewriters and calculators. Microfilm equipment requires little maintenance by your office personnel. However, employees who use the equipment should familiarize themselves with routine care and maintenance procedures, such as cleaning, changing lamps, etc. These items are explained fully in the owner's manual for each piece of equipment.

Microfiche storage equipment should also be obtained, serviced, or transferred through the Office Property Units of the Office Services Branch. Assistance in obtaining additional equipment can be provided by Records Administration Section of the Office Services Branch. Any additional equipment obtained should be compatible to your current equipment.

B. SUPPLIES

Supplies are obtained through the TVA Office Supply Warehouses which either stock the items or will special order them for you. Supplies that are stocked in the TVA warehouses are:

<u>Item</u>	<u>Item No.</u>	<u>Unit of Issue</u>
Lamp for Bell and Howell ABR-914 and ABR-VIII readers	10867	EA-01
Lamp for Bell and Howell portable reader (commuter)	10868	EA-01
Lamp for Bell and Howell ABR-610 reader/printer	10869	EA-01
Lamp for 3M duplicator	10995	EA-01
Paper for Bell and Howell ABR-610 reader/printer (2 rolls/ctn)	11602	CT-22
Toner for Bell and Howell ABR-610 reader/printer	11847	QT-19
Microfiche envelopes (form TVA 13025)	64197	HD-02
Diazo film for #M duplicators	30770	CS-12

Other supplies, such as microfiche storage trays and tray dividers, must be special ordered through the TVA warehouse.

be controlled appropriately. If possible, copies should not leave the DPO/Contract Administrator's office. When it is necessary to send copies to other offices, they should be treated as administratively confidential.

7. Paper copies of PHRs/CHR_s should not be made unless they are absolutely necessary. Paper copies should not be made for convenience. It is too expensive and time consuming to make paper copies just for convenience.
8. When employees/contractors terminate, the DPO/Contract Administrator must remove the PHR/CHR from his or her file at the time of completion of the action recording the termination. If the individual is later rehired, a new copy of the record will be distributed.
9. When a copy of a PHR/CHR is no longer needed, it must be disposed of properly. The DPO/Contract Administrator can destroy it, or can send it to Property and Services, 99 SPB-K, in a sealed envelope labeled "Administratively Confidential," indicating that the copies are for destruction.

B. COPIES DISTRIBUTED BY PMU

The Personnel Microrecords Unit will distribute copies of Personal History Records to division personnel officers and copies of Contractor History Records to Contract Administrators. These will be sent in white, 4" x 6" envelopes with a separate envelope for each file. Distribution will occur in the following situations:

1. NEW EMPLOYEES/CONTRACTORS - DPOs/Contractor Administrators will receive a complete copy of the original PHR/CHR after PMU has processed the documents. The label for the record will specify "NEW HIRE."
2. REHIRES - DPOs/Contract Administrators will receive a complete copy of the original PHR/CHR after PMU has processed the documents. The label for this record will specify "REHIRE." This will be used even if the person was originally a contractor, terminated, then rehired as an employee or vice versa.
3. UPDATES - DPO/Contract Administrators will receive a copy of only the last page(s) updated when PMU processes documents. DPOs/Contract Administrator's will add these to their files immediately, replacing only the pages sent. The label will specify "UPDATES."

NOTE: The labels mentioned in 1, 2, and 3 above will also show the employee's name and SSN, the DPO/Contract Administrator's name and address, the date the file was updated, whether the person is SP or T&L, and the employee's division and branch organization code.

4. TRANSFERS - When an employee/contractor transfers from one division (or DPO/Contract Administrator) to another, the division losing the individual must send the field file to the division receiving the individual. This should be done on the effective date of the transfer or as close to that date as possible. PMU will send all future updates to the receiving division.
5. REQUESTS - DPOs/Contract Administrators will receive a complete copy of the original PHR. These will have no mailing label but will be accompanied by a listing of all files requested by and sent to their offices.

See the section of this manual titled "Requests for PHRs" for more information concerning requests.

EXAMPLE OF PHR/CHR MAILING LABEL

Employee/Contractor's Name		Employee/Contractor's SSN
Date	(1)	(2)
		(3)
	(4)	

MAIL TO: DPO/Contract Administrator's Name
 DPO/Contract Administrator's Address

- (1) The words "NEW HIRE," "REHIRE," or "UPDATE" will be printed in this space.
- * (2) The abbreviations "SP," "ATL," or "HTL" will be printed, or the space will be blank for contractors.
- (3) The employee/contractor's organization code representing division and branch will be printed.
- (4) A five-character control number used only by PMU will be printed in this space.

Contents of the PHR

FD 000023

***IV. CONTENTS OF THE PHR/CHR**

The purpose of the PHR/CHR is to document an individual's employment history at TVA and to provide information for evaluating an individual's qualifications for transfer and/or advancement. To implement this purpose, procedures have been developed regarding material placed in or removed from the PHR/CHR. These are summarized below.

A. DOCUMENTS SUGGESTED FOR INCLUSION IN THE PHR/CHR

The Division Personnel Officer or Contract Administrator is solely responsible for reviewing all documents submitted for inclusion in the PHR/CHR. Any document submitted by a division personnel office or Contract Administrator that meets the physical characteristics listed in section IV.B. will be placed in the employee's PHR/contractor's CHR.

Documents contained in the Official Personnel Folder (OPF) of a former employee of another Federal agency are included as a permanent part of a PHR/CHR. These documents are immediately preceded by a document stating, "Beginning of OPF," and are immediately followed by a document stating, "End of OPF." Material contained in an OPF is included in the PHR/CHR to document previous Federal service for leave, pay, and retirement purposes.

Documents submitted for the PHR/CHR should meet one of the following conditions:

1. Reflect some significant event in the person's employment history at TVA such as a personnel transaction, job description, service review, etc.
2. Reflect attainment of additional skills which will qualify the individual for different or additional job responsibilities in TVA.

In determining whether a document should be placed in the PHR/CHR, one should remember that the PHR is TVA's file on an employee and the CHR is TVA's file on a contractor. It is not the employee/contractor's file. Therefore, documents should not be submitted because the individual wants it in his/her PHR/CHR.

o Examples of items suggested for inclusion:

- Documentation of internal or external job-related training such as engineering seminars, computer programming courses, and management development seminars. The documentation could include a brief course description and a final grade if applicable.
- Copy of front page only of memorandum or form requesting tuition reimbursement.

o Examples of items not suggested for inclusion:

- Forms and memorandums used to request approval to participate in internal or external training.
- Supporting documentation (payment receipt and grade report) for tuition reimbursement.
- Forms or memorandums documenting one- or two-hour orientation courses of any kind.
- Forms or memorandums requesting advance payment of tuition or fees for training:
- Documents maintained in other files such as security, medical, etc., unless excepted.
- Copies of certificates for attending orientation courses.
- Copies of diplomas (the 9880 contains space for degrees).

Forms and memorandums documenting employee/contractor training present special problems due to the lack of standardization throughout TVA. The Office of Personnel Management (OPM) has issued the following guidelines for documenting training in the Official Personnel Folder (OPF) used by most Federal agencies. It is suggested that these guidelines be used in documenting any type of training.

o Internal (to TVA) training:

For each completed instance of classroom training in excess of eight hours, document the following:

- The title and training objectives of the course.
- The length of the course in hours.
- The starting and concluding dates of the course, indicating whether the individual satisfactorily completed the training.
- The name of the training organization.

o External (to TVA) training:

For each completed instance of training and for any instance of training which the individual did not complete but did attend more than 40 hours of training, document the following:

- The title and objectives of the course.
- The length of the course in hours.
- The starting and concluding dates of the course, indicating whether the individual satisfactorily completed the training and the date on which the individual last attended the course.
- Expense of the training paid by TVA.
- The name and mailing address of the training organization.

B. PHYSICAL CHARACTERISTICS OF DOCUMENTS

To permit proper microfilming of documents, they must meet certain physical requirements:

1. Each document must contain the individual's name and social security number. Documents without the SSN will be returned.
2. Lists of individuals involved in a common action or event (such as a training program) are not acceptable. A separate form or memorandum is required for each individual.
3. Only the original of a document is acceptable. Exceptions to this are made when justified. Exceptions have been made for documents used by the Division of the Comptroller to support payments. Acceptable documents submitted at the request of employees/contractors may be copied if they are of high quality.
4. Documents must not be larger than 8-1/2 x 11.
5. Documents should be no more than one page where feasible.
6. Documents must be highly legible and provide a sharp contrast between the color of the ink and the color of the paper, preferably black print on white paper.
7. Documents submitted for the PHR should be addressed to the Personnel Microrecords Unit, 210 MIB-K, and should be sent with a routing slip attached to each group of documents to permit PMU to contact the originator if necessary and to verify that the documents were submitted by a DPO.

C. EMPLOYEE/CONTRACTOR REQUESTS TO AMEND/CORRECT PHRs/CHRs

An employee/contractor may request amendment or correction of his/her PHR/CHR, to the extent permitted by the Privacy Act. These provisions are explained in the Personnel Manual. Such requests are to be handled by the individual's DPO or Contract Administrator.

D. REMOVAL OF DOCUMENTS FROM THE PHR/CHR

Documents are removed from the PHR/CHR only upon the authorization of the individual's DPO/Contract Administrator. The request for removal must be signed by the DPO/Contract Administrator and must specifically identify the documents to be removed and state the reason for removal.

Documents are removed from the PHR/CHR only under either of the following circumstances:

1. TVA is directed to do so as a result of a grievance, legal action, EEO complaint, Merit Systems Protection Board ruling, or similar appeal mechanisms.
2. Warning letters will be removed after the appropriate time period has lapsed, as specified in the union-management agreements. However, these will be removed only after the DPO/Contract Administrator notifies PMU that the document(s) are to be removed.

Requests for removal of documents should be addressed to the Supervisor, Personnel Microrecords Unit, 210 MIB-K. If the circumstances also require deletion of an action from the Employee Information System (EIS) or the Contractor Information System (CIS), details of the action to be deleted should be included in the same memorandum.

An individual memo must be submitted for each PHR/CHR.

If documents are filed in the wrong record, an informal memorandum may be used to inform PMU of the discrepancy.

Documents will not be removed to correct an error on a previous document. Such errors should be corrected by a second document which references the erroneous document and resolves the error. These corrections should be transmitted on an individual basis, i.e., one correcting document for each PHR/CHR.

E. DOCUMENTS APPROVED FOR INCLUSION IN THE PHR

Application for TVA employment

TVA 1 - Application for Employment (Salary Policy)

TVA 5 - Trades and Labor Application for Employment

TVA 9856 - Notification of Interest and Availability for Placement
During RIF Notice Period

Supplementary qualification facts

TVA 9871 - Applicant Data on Convictions

- vita-resume

- school transcripts and grade reports

- evidence of professional registration or certification

- information which served as a basis for determining
eligibility for Federal employment

Test results

TVA 5315 - Report of Test Results

TVA 9809 - GATB Occupational Register Card

TVA 10527 - Welding Performance Qualification Record

Service evaluations

TVA 3031 - Employee Service Report

TVA 3031A - Employee Service Report (T&L foremen in OACD)

TVA 3031B - Employee Service Report (T&L employees in OACD)

TVA 3029 - Supervisors' Evaluation of Hourly Trades and Labor
Employees

TVA 9898 - Employee Profile

TVA 13020 - M-Schedule service review form

TVA 77* - Personnel Action - Hourly Trades and Labor

*Listed elsewhere also.

Note: The service evaluation includes information on work assignments not specifically covered in the job description.

Job descriptions

TVA 12A - Job Description

TVA 12B - Job Description, Schedules SA, SB, SD, and SE

TVA 12D - Job Description, Positions in Wage Schedule D, Office of Power

TVA medical examination conclusions

TVA 95 - Medical Evaluation for Return to Work (Following Injury or Illness)

TVA 1444 - Request for Medical Examination (Includes "Determinations by Division of Medical Services")

Records on enrollment and progress in employee training program

TVA 64 - Field Clerical Employees' Training Program

TVA 1453 - Report of Individual Participation in an Educational Activity

TVA 3023 - Apprenticeship Committee Personnel Action

TVA 3026 - Apprenticeship Agreement

TVA 3311 - Office Induction Training Report

TVA 7643A - Educational Assistance, Office of Power

TVA 7718 - Office of Power, SGPO Training Program Training Agreement

TVA 7719 - Request For and Report of Outside Training, Office of Power
(see note 1)

TVA 9849 - Record of Education Outside TVA

TVA 9928 - Shared-Cost Training, Division of Purchasing

TVA 15504 - Request For and Report of Outside Training, Division of
Property and Services (see note 1)

TVA 30450 - Request For and Report of Outside Training, Office of Natural
Resources (see note 1)

- Completion Evaluation Summary for Field Clerical Employees Training Program, Division of Power Construction
- Report of Attendance at Professional Meeting, Convention, Conference, or Seminar
- Request for Tuition Reimbursement, OEDC
- Student Operator Agreement

Note 1 - Acceptable for the PHR only after training has been completed.

Evidence of participation in union-management relations

SP-10 - Salary Policy Employee Panel (Includes both membership and participation)

Correspondence with and about the employee regarding qualifications and performance, including letters of commendation

This type of document will be accepted for the PHR only if the DPO determines that it:

1. is specifically related to the employee's TVA work, and it is not feasible to record it in the employee's service evaluation; or
2. is specifically related to a TVA policy or program emphasis.

Letters related to discipline or adverse actions

These items will be retained a maximum of three years unless related to a separation. It is the DPO's responsibility to notify PMU when the document is to be removed from the PHR.

- Letters of reprimand, caution, or warning
- Notices of proposed adverse actions
- Notices of decisions on adverse actions

Appointments, reappointments

- Letter of offer of employment
- Letter of acceptance of employment offer

TVA 9880* - Employee Status and Information Record

TVA 9880A - Appointment Affidavit and Conditions

TVA 8049 - Verification of Social Security Number

TVA 3542 - Parental Consent

- proof of age

- contract with TVA for personal services or consultant services prior to employment

TVA 5272 - TVA Contract for Services of Temporary Instructor

TVA 9855 - Retirement From Uniformed Services (Concerning dual pay of retired military personnel)

Status change

TVA 9880* - Employee Status and Information Record

TVA 77* - Personnel Action - Hourly Trades and Labor

TVA 9837 - Authorization to Pay Employee at Higher Rate for Substitute, Relief, or Extra Work (Indicates duties not reflected in job description)

Leave

TVA 9880* - Employee Status and Information Record

- employee's letter requesting LWOP

- orders to active duty

- orders to inactive training duty

*Listed elsewhere also.

Separation

- employee's letter of resignation
- employee's letter of planned termination
- memorandum notice concerning termination

TVA 3824D - RIF Notice to Nontemporary Employee

TVA3824S - RIF Notice to Temporary Construction Employee Employed
More Than One Year, in Nonpay Status Due to Service-Connected
Injury

TVA 3824T - RIF Notice to Temporary Construction Employee Employed More
Than One Year

- memorandum notices of reduction in force

TVA 8195 - Authorization of Severance Pay for Salary Policy Annual
Employee

- Authorization of Project Life Severance Pay for Division of Construction
Salary Policy Annual Project Employee

Veteran status

TVA 3595 - Veteran Status Information

DD214 (Copy of military discharge)

- certification or other documents which support veteran status

Restoration rights status

TVA 3593 - Eligibility for Restoration Rights After Military Duty

TVA 3841 - Referral for Restoration of Employee Under Part I or Part II
of III RESTORATION, Military Duty

Insurance status

SF 56 - Federal Employees' Group Life Insurance Program

SF 176 - Life Insurance Coverage, FEGLI Program

SF 2817 - FEGLI Life Insurance Election

Other information

- externally required forms - SF, CETA, GSA, etc. (e.g., forms contained in OPFs received from other Federal agencies)

TVA 6163 - Salary Policy Hourly Creditable Service

- employee's authorization for release of information

- record of release of information

Requests for PHRs

FD 000034

*V. REQUESTS FOR PHRs/CHRs

All requests for PHRs/CHRs must be coordinated through a DPO/Contract Administrator office. Requests will be rejected by PMU unless received from a DPO/Contract Administrator office.

A. ROUTINE REQUESTS

The normal procedure for requesting copies of PHRs/CHRs is through a CRT. This is the most efficient method for both the requestor and PMU. Normally, requests entered one day will be mailed by PMU early the next day.

On the pages which follow, instructions are given for general operation of a CRT and for data entry to request PHRs/CHRs. Procedures have also been provided for written requests of records; however, written requests will always be slower than the use of the CRT by at least one full day.

1. GENERAL CRT INFORMATION

a. Introduction

The terminals used to enter data and display information within the Division of Personnel are cathode ray tubes (CRTs) manufactured by Harris Corporation. CRTs are usually faster and quieter than conventional typewriter-like terminals or keypunches because they have few mechanical moving parts; images are displayed on the television-like screen and characters are entered at the typewriter-like keyboard. The particular CRTs used within the Division of Personnel are Harris 880 Keyboard Display Terminals with typewriter keyboards and optional program function key pad, providing 24 display lines of 80 characters each.

The computer software--collections of programs and routines--used in the Division of Personnel's teleprocessing systems are listed below.

OS/MVS with JES3 (Central Computing Facility Operating System)
SYSTEM 2000, or S2K (Data Base Management System)
CICS (Teleprocessing Monitor System)

The Central Computing Center maintains a computer status Hotline, extension 3105 in Chattanooga, which is a recorded message giving the status of the different components of the central computing system. If any part of the system is malfunctioning or nonoperational ("down"), the Hotline usually gives an estimate of when it is expected to be running correctly. The recorded message is updated approximately every hour during weekdays. Teleprocessing communication problems should be reported to the Network Control Center, extension 2482 in Chattanooga.

The Information Management Systems Branch maintains a system status line, extension 7334 in Knoxville. The recorded message gives the current status of IMS systems and also the availability of the systems for weekend processing. The status of IMS systems is dependent on the central computing system in Chattanooga. Therefore, the status of IMS systems may be operational but processing cannot be accomplished when CICS is down.

The Systems Services Unit of the Information Management Systems Branch can also provide assistance in equipment operation and problem solving. You may call them at extension 4611 in Knoxville.

b. General Operation

o Display Terminals

Information is entered at the display terminal by keying in the desired characters using the keyboard and verifying the information on the screen. In addition to the standard keys on the keyboard, other keys are provided to perform special applications.

o Cursor

An important symbol to understand when using any CRT is the cursor. It simply tells terminal operators where they are on the display screen. There are eight keys which act to move the cursor to various positions and in various directions on the screen. The space bar should not be used to move the cursor unless the characters over which it is pressed are to be blanked out.

o Display Fields

All data entered is formatted into input fields, e.g., social security number, date of birth, name, etc. The length, or number of characters allowed to be entered, for each field is defined to accommodate the longest valid value. Once the operator enters the maximum number of characters allowed for an input field, the cursor automatically tabs to the next input field.

Besides input fields, the data entry programs provide labels indicating what information is to be entered in each input field. Though terminal operators may move the cursor anywhere on the screen, they may enter characters only into the predefined input fields; any attempt to type or space over a label or undefined area on the screen makes the INPUT INHIBITED light come on and prevents further data entry. Pressing the RESET key returns the terminal to the System Available mode.

Located on the upper right side of the keyboard are indicator lights as described below.

System Available

The computer is available to accept operator's data. When this indicator is not lighted, communication with the computer is not possible.

Input Inhibited

The computer will not accept operator's data. This occurs when ENTER is pressed to transmit data or when an error is typed at the keyboard. Pressing RESET after typing an error usually returns the terminal to System Available status. Do not press RESET while data is being transmitted (after pressing ENTER); it does not cancel what has already been entered, and does not enable the operator to enter new commands or data. Pressing RESET after ENTER could prevent the terminal's being returned to System Available status.

Input Error

This indicator will light when an invalid operation is attempted; also, alarm sounds and INPUT INHIB indicator will light. Press RESET key to clear.

Online

Lights to indicate terminal is available for online operation and is turned off by the OFFLN command.

Insert Mode

Lights when the INS MODE key is pressed. Press RESET key to return to normal keyboard operation.

No Format

Lights when there are no formats displayed on the screen.

o Terminal Features

Described below are some of the features of the Harris display terminal and keyboard.

Character

Any data which is entered onto the CRT screen and represents either an alphabetic or numeric position.

Cursor

The cursor is a white image about the size of a dash which is used to indicate where the next character entered from the keyboard will be displayed.

Display Fields

Areas on the screen where an operator can enter data.

Automatic Skip

The cursor automatically skips to the next field after a character has been entered in the last position of the previous field.

Space Bar

Same function as on a standard typewriter. It should not be used to position the cursor since it will blank out the character where the cursor is located. However, the space bar is used to blank out data.

Cursor Positioning Keys

These are used to reposition the cursor to various positions and in various directions on the display screen. The section "Key Descriptions," pp. 9-16 in the Harris Operator's Manual, contains descriptions of the different key functions.

NOTE: There are no computer charges incurred for staying signed on to CICS, except when transactions are being processed or natural language inquiries are being made on SYSTEM 2000. Therefore, it is better to remain signed on to CICS so that messages from IMS regarding system availability can be received.

2. BEGINNING A TERMINAL SESSION

Before beginning the session, move the security lock on the CRT to the OFF position and then turn on the CRT. A formatted screen with a TVA logo and list of application IDs will be displayed. At the bottom of the screen is a message ENTER APPLICATION: with the cursor positioned next to it. Key in the appropriate APPLICATION (in this case, CICSP) and press ENTER. If CICSP is operational, another screen is displayed with the following message:

TVA00 - LOGON COMMAND HAS BEEN ACCEPTED

Once this message is received, wait for the CICS-VS logo screen to appear before entering anything else. Most terminals will "beep" when the CICS-VS logo is displayed. After the logo screen has appeared, press the CLEAR key and proceed as follows:

Operator EntersCICS Responds

SCON (ENTER)

```
*** SECURE/CICS ***  SCON
OPERATOR ID:  ?
PASSWORD      :
```

All data entry locations are furnished with unique sets of operator IDs and passwords for persons responsible for data entry. It is the responsibility of the data entry person to maintain the confidentiality of his or her ID and password. Questions regarding Computer Information Control Systems (CICS) operator IDs should be directed to the ADP contact for the user's organization. Division of Personnel operators should contact the IMS Systems Services Unit. See 2.b. "Change to DPO Organization Access and Terminal IDs" in this section. The operator enters the OPERATOR ID and PASSWORD. To protect the password from unauthorized observation, it is not readable as it is entered. The format for entry is:

Operator EntersCICS Responds

```
OPERATOR ID:  JOB#/ORG.ID/USERID      SCIO05  SIGN-ON COMPLETE
PASSWORD      :  4-DIGIT PASSWORD (ENTER)
```

When the SIGN-ON COMPLETE message is received, the operator is ready to enter the appropriate transaction ID for the desired processing. If CICS responds to the sign on command with the message SCIO04 INVALID SIGN-ON, the operator should enter SCON again to obtain the OPERATOR ID and PASSWORD screen. The sign on command should be reentered, verifying that the correct characters are entered and displayed on the screen. If the problem persists, report it to the TP/DB Support Group (2377-C).

Signing off CICS is accomplished one of two ways:

Operator EntersCICS Responds

- | | |
|------------------------|-------------------|
| 1. SCOF (ENTER) | SCIO06 SIGNED-OFF |
| or | |
| 2. SCOF LOGOFF (ENTER) | TVA Logo Screen |

SCOF may be used throughout the day to sign off CICS; however, at the end of each day's processing, the TVA logo screen should be displayed by entering SCOF LOGOFF. At this time, the CRT should be turned off and the security lock moved to the ON position.

a. Terminal Problems

Many suspected hardware errors may actually be the result of problems with the main computer or the overall computer operating system. Sometimes teleprocessing systems pause or slow down in responding to terminal commands without anything being wrong. First, call the Hotline to learn the status of the central computer, SYSTEM 2000, and CICS. The Hotline's recorded message usually gives an estimate of when the system is expected to be running correctly again. If a problem is encountered that is not addressed in the Hotline message and other terminals in the same location are experiencing the same problem, notify the IMS Systems Services Unit, Knoxville extension 4611.

Following is a list of possible CICS messages and their meaning.

TVA00 - LOGON COMMAND HAS BEEN ACCEPTED

This message is issued when valid sign on characters are entered for an active application.

TVA02 - XXX COMMAND UNRECOGNIZED

The sign on characters (XXX) are not valid. Press CLEAR to return to the TVA logo screen.

TVA04 - APPLICATION NOT ACTIVE

The sign on characters are correct, but the requested application (i.e., CICS) is not available. Press CLEAR to return to the TVA logo screen and wait a few minutes before trying again. If the application is still not active, call the Hotline.

TVA06 - TERMINAL ALREADY IN SESSION

The terminal is queued to an application. It may be necessary to call the Network Control Center to clear the terminal.

TVA07 - SESSION NOT BOUND

This message indicates a system error. Call Customer Services (extension 3473-C).

SCIO01 - TRANSACTION CANCELLED

Clearing the screen will send this message. No sign on occurred, and the operator is not authorized to use CICS. Enter either SCON to sign on or SCOF to sign off.

SCIO04 - INVALID SIGN-ON

The CICS sign on has been rejected and the operator should try again.

DFH2001 - INVALID TRANSACTION IDENTIFICATION-PLEASE RESUBMIT

The CLEAR or ENTER key was pressed when the first four characters on the screen (upper left-hand corner) were not a recognizable CICS command, or when extra characters were present on the screen.

DFH2016 - SECURITY VIOLATION HAS BEEN DETECTED

The transaction ID entered is not authorized for use by this terminal (same as ACCESS NOT AUTHORIZED).

DFH2002I - OPERATOR HAS NOT SIGNED ON - PLEASE SIGN ON

This message is displayed when an operator is legally signed on to a terminal and is signed off during the session. This is notification that the operator ID and password are being used by another person. The operator should take immediate steps to prevent any unauthorized use of his or her ID.

ACCESS NOT AUTHORIZED

The transaction ID entered is not authorized for use by this terminal. If the transaction ID is supposed to be used at this terminal, notify the IMS Systems Services Unit.

b. Change to DPO/Contract Administrator Organization Access and Terminal IDs

When the organizations for which a DPO/Contract Administrator is responsible are changed, a written request to change access authorization must be submitted to the IMS Branch Chief by the division or office level manager who is responsible for the Personnel Service Staff(s)/Contract Administrators affected. The request must clearly define the organizations involved and indicate the following:

- o Effective date of the change.
- o The DPO/Contract Administrator with previous responsibility as well as the DPO/Contract Administrator who is assuming responsibility. IMS should also receive written notification when an individual assigned to a DPO/Contract Administrator position is changed.
- o How the DPO's name or Contract Administrator's name is to be shown on subsequent 9880s or 13043s, if this is different in form from the name currently stored in the EIS/CIS system.
- o Terminal ID--List terminal ID used to access organization(s) involved in changes of DPO/Contract Administrator or organization code. One terminal may not be accessed to more than one DPO ID (or Contract Administrator ID).

One of the security measures employed by IMS to protect automated Personnel systems is to limit access to authorized terminals only. Teleprocessing equipment (terminals, printers, etc.) is identified by a network ID (i.e., A930, BDC2), and the appropriate access is assigned to that ID. Whenever a network ID changes, usually due to relocation of the equipment, the IMS Systems Services Unit, should be notified. Access will be transferred to the new network ID and deleted from the old one. Timely notification will ensure uninterrupted access.

TASK DESCRIPTION
DIVISION OF PERSONNEL

PAGE: 1 of 3

DIVISION PERSONNEL OFFICES/ ORGANIZATION: CONTRACT ADMINISTRATORS	TASK DESC. NO.: 1
JOB NAME: REQUESTS FOR PHRs/CHRs	DATE PREPARED: 5/87
SYSTEM: CONTRACTOR INFORMATION SYSTEM - CONTRACTOR HISTORY RECORD (CIS-CHR) EMPLOYEE INFORMATION SYSTEM - PERSONAL HISTORY RECORD (EIS-PHR)	
SUBSYSTEM: PROCESSING ROUTINE REQUESTS	

3. PROCESSING ROUTINE REQUEST

a. Introduction

An EIS/CIS transaction identification code provides a formatted screen which allows DPOs to request up to 20 PHRs or CHRs "online." Requesting PHRs/CHRs "online" means that the automated system checks TVA's automated files to ensure that a record exists for an individual before the request is transmitted to PMU. If a PHR/CHR is not established for the SSN entered or if the PHR has been sent to NPRC (National Personnel Records Center) in St. Louis, Missouri, the PHR/CHR request screen returns the error message "RECORD NOT FOUND."

When the error message "RECORD NOT FOUND" is returned, the DPO should recheck the SSN to make sure it was entered correctly. If the SSN was entered correctly and the "RECORD NOT FOUND" error message still returned, the DPO can make a written request (Exhibit 1) to the Supervisor, Personnel Microrecords Unit, 210 MIB-K, to request the PHR/CHR. If the PHR is at NPRC, PMU will request the file. PMU will notify the DPO of this action since these requests usually require two to three weeks or longer to return from St. Louis. When the file is received in PMU, it will be microfilmed and a copy of the microfilm forwarded to the DPO.

b. Display Screen

- (1) The CICS transaction identification code designated for PHR/CHR requests will return the formatted PHR Requests Screen Display (Exhibit 2).
- (2) When processing is completed, the PHR/CHR Requests Screen Display is returned to process additional requests if needed.

0816A

FD 000042

c. Processing Screen Display

- (1) If not already signed on, initiate CICS session by issuing the SIGN ON command discussed in Section V-2., BEGINNING A TERMINAL SESSION.
- (2) To initiate processing, enter the transaction identification code designated for PHR/CHR requests. This results in a fresh copy of the PHR Requests Screen Display.
- (3) Enter the two-digit code for your DPO ID. These codes are available from IMS Systems Services Unit, extension 4611, Knoxville.
- (4) Enter the SSN of each individual for whom a PHR/CHR copy is needed. Enter all nine digits with no spaces or dashes. Enter up to 20 SSNs. Take care to enter only 20 SSNs. If more are entered, the cursor will return to the top of the screen and will overlap previously entered data.
- (5) Press the ENTER key.
- (6) When processing is completed, a clear screen is returned to process additional requests. An error message appears to the right of any SSN entered which is not transmitted to PMU.
- (7) When the message is:
 - (a) RECORD NOT FOUND - Recheck the SSN for accuracy or make a written request (Exhibit 1) to the Supervisor, Personnel Microrecords Unit, 210 MIB-K, to request the file.
 - (b) REQUEST ALREADY ON FILE - The PHR/CHR has already been requested and is being sent to the requestor.
 - (c) SYSTEM ERROR - Press RESET and cancel processing by pressing CLEAR, then notify IMS Systems Services Unit, extension 4611, Knoxville. Further data entry will probably be impossible until the system problem is resolved.
 - (d) If an edit error message is returned, i.e., any message other than the types mentioned above, or if further assistance is needed to process the requests, press RESET and cancel processing by pressing CLEAR, then notify IMS Systems Services Unit, extension 4611, Knoxville, to resolve the problem.

-
-
- (8) After processing all requests for PHRs, sign off CICS by using the SIGN,OFF command discussed in Section V-2, BEGINNING A TERMINAL SESSION.
 - (9) If the computing system is inoperable, you may request PHRs by mail. Exhibit 1 is a sample of the format to use when making written requests for PHRs to PMU.

FD 000044

0861A

SYSTEM: EIS-PHR DATE PREPARED: 5/87 TASK DESC. NO.: 1 PAGE 3 OF 3
PREPARED BY THE INFORMATION MANAGEMENT SYSTEMS BRANCH

B. EMERGENCY REQUESTS

Emergency requests for immediate access to a PHR/CHR are directed to the Supervisor, Personnel Microrecords Unit. Due to the disruptive nature of these requests, DPOs must limit such requests to an absolute minimum.

C. OUTSIDE REQUESTS FOR PHRs/CHRs

1. Requests from other Federal agencies (such as OPM, FBI) are directed to the Personnel Services Staff of the Division of Personnel.
2. Requests generated as a result of court orders or other legal action are directed to the Supervisor, Administrative Services Section, Division of Personnel, who coordinates the request with the Office of the General Counsel.
3. Outside requests for verification of employment are to be handled by the employee's DPO if the person is currently employed or by the Division of Personnel's Employment Services Section for former employees.
4. The TVA Privacy Act officer (Division of Personnel, Research and Analysis Branch) can assist in determining where disclosure is authorized.

D. REQUESTS FOR FORMER EMPLOYEES' PHRs

Prior to July 1980, PHRs of former employees were sent to the National Personnel Records Center (NPRC) in St. Louis, Missouri. The Personnel Microrecords Unit now retains PHRs of all former employees. All requests for PHRs at NPRC are directed to the Personnel Microrecords Unit, 210 MIB-K. If the PHR is at NPRC in St. Louis, PMU will request the file. PMU will notify the requestor of this action since these requests usually require 2-3 weeks or longer to return from St. Louis. When the file is received in PMU, it will be microfilmed and a copy of the microfilm forwarded to the requestor.

Individual offices must not request PHRs from NPRC. Such action prevents PMU from establishing a complete PHR for rehires and from controlling the PHRs.

Memorandum

TENNESSEE VALLEY AUTHORITY

TO : PERSONNEL MICRORECORDS UNIT, 210 MIB-K
FROM : (REQUESTOR'S NAME AND ADDRESS)
DATE :
SUBJECT: REQUEST FOR PHRs

DPO ID: 99

<u>SSN</u>	<u>NAME</u>	<u>OTHER INFORMATION</u>
44455666	John A. Doe	1975-78, WBNP
456789123	John A. Johnson	DOB-1938, Electrician, F & H Power, W. Creek
572183472	Mary Jones	Formerly Mary Smith

This example memorandum illustrates a typical written request for PHRs or CHRs. The Other Information should include any previous employment data which will assist PMU in locating the file, such as employment date(s), work location, date of birth, former names, etc.

0857A

5/87



FD 000046

REQUESTS FOR PERSONAL HISTORY RECORDS

DPO ID: 99

SSN
415944149
412833960
410547981
359113609
424999274
411500773
.
.
.
.

ERROR MESSAGE

RECORD NOT FOUND

This screen example illustrates a typical entry for requesting PHRs or CHRs. A maximum of 20 social security numbers can be entered on one screen.

*E. UNION REQUESTS FOR PHRs

Division personnel officers are responsible for controlling union access to PHRs. In compliance with the Privacy Act of 1974, information contained in TVA PHRs may be disclosed through written consent of the individual to whom the record pertains or as authorized by the TVA code.

The code authorizes disclosure of information from PHRs to unions in exercising their responsibilities under the TVA grievance procedures and the TVA collective bargaining agreement.

Union requests for accessing PHRs are handled by the division personnel office to which the request is related. If the request is related to a grievance or potential grievance, the division personnel office which is handling or will handle the grievance reviews the request and obtains the PHR from PMU. In the case of grievances, any PHR may be supplied to the union but only if it is pertinent to the grievance.

Union requests not related to a grievance or potential grievance are handled by the subject employee's DPO, who provides the file at his/her discretion. The DPO may also require the union representative to review such requests in the DPO office, again at the DPO's discretion.

PHRs may be obtained through the normal procedures, using the CRT, and will be sent to the DPO office entering the request.

Form TVA 13026 has been developed for use in certifying the validity of the union's request and to provide a record of the request (see page V-15). Union requests received in PMU are honored only if transmitted through a division personnel office. The Privacy Act requires that records of disclosure be maintained for five years or the life of the record (the PHR in this case), whichever is longer. The DPO is responsible for maintaining such documentation, and the Form 13026 has been established to facilitate this requirement.

F. REQUESTS ASSOCIATED WITH FEDERAL TRANSFERS

The following procedures are used in transferring personnel records between TVA and other Federal agencies when employees/contractors or former employees/contractors of TVA are hired by another Federal agency and vice versa.

- Source?*
- o Persons Hired by TVA - The Official Personnel Folder (OPF) from the previous agency is requested and received by the Division of the Comptroller. After being reviewed by the payroll section and the Retirement Services Branch, the OPF is forwarded to PMU, which microfilms it as a permanent part of the PHR. The material contained in an OPF is distinguishable in the PHR since it is immediately preceded by a document stating, "Beginning of OPF" and is immediately followed by a document stating, "End of OPF." The OPF officially becomes a part of the PHR when the person is hired by TVA.

- o Persons Hired by Other Federal Agencies - If the PHR/CHR is still at TVA, the Employment Branch obtains the record and handles the transfer of the record to the new agency. If the PHR has been sent to the National Personnel Records Center (NPRC) for storage, the new agency requests the file directly from NPRC, which sends the file directly to the agency. The record is officially transferred when the person is hired by the new agency.

CONDITIONS AND RESTRICTIONS FOR PROVIDING PERSONAL HISTORY RECORDS TO UNIONS

The Privacy Act of 1974 forbids disclosure of information from Personal History Records (PHRs) except as authorized by the Privacy Act. Information maintained in TVA PHRs will not be disclosed outside TVA except pursuant to a written request by or prior written consent of the individual to whom the record pertains unless specifically authorized in the TVA code. The code authorizes disclosure of information from PHRs to unions in the following circumstances: (1) to the parties, their representatives, and impartial referees in proceedings under TVA grievance adjustment procedures; and (2) to union representatives in exercising their responsibilities under TVA collective bargaining agreements. This authorization allows TVA to disclose PHRs without the prior written consent of the individuals to whom they pertain, but does not require such disclosure if in TVA's judgment the disclosure would not be appropriate and consistent with the letter and intent of the Privacy Act. Further, the Privacy Act provides that "Any person who knowingly and willfully requests or obtains any record concerning an individual from an agency under false pretenses shall be guilty of a misdemeanor and fined not more than \$5000."

You must assume responsibility consistent with the Privacy Act of 1974 and TVA policy, for the use of the PHR files provided, and for the content and distribution of information generated using the file data. This responsibility includes taking precautionary measures necessary to prevent unauthorized uses and disclosures.

The PHR's files and their contents belong to TVA. If records and information are not used and maintained in a manner consistent with the letter and intent of the Privacy Act, the Director of Personnel can refuse access to the records.

I agree to abide by the conditions listed above in order to access the personal history records of the following persons:

SSN

NAME

These records are being accessed for

Processing the grievance/potential grievance of _____
Employee Name or Group

in the Division of _____

or

Other (explain) _____

TYPE OR PRINTED NAME OF UNION OFFICIAL

SIGNATURE OF UNION OFFICIAL

UNION OFFICE

IF ELECTED

TERM OF OFFICE EXPIRATION DATE

UNION NAME AND LOCAL NUMBER

DATE OF REQUEST

DPO APPROVAL

Suggestions for Operating

FD 000051

VI. SUGGESTIONS FOR OPERATING

Listed below are some suggestions which may be helpful to you.

1. Employee Information System (EIS) - All DPOs have access to EIS, which provides access to the current status (9880 information) for each employee. In many cases, information needed from a recent 9880 can be obtained from EIS more quickly than through the PHR.
2. Document turnaround time - The amount of time which elapses between the creation of a document and the time it appears in a PHR/CHR can be affected by many factors. For example, obtaining signatures on a TVA 9880 or Employee Service Report can require several weeks. DPOs should insure that forms are routed promptly to PMU for updating PHRs.
3. Supporting papers - A form TVA 9880 often requires supporting documents which should be filmed adjacent to the 9880 in the PHR. This can occur only if documents are submitted as a complete package. The DPO office should make a special effort to collect all supporting papers to submit them at one time. By doing so, the turnaround time for filming documents as well as the cost of maintaining the PHR can be reduced. Both the DPO and PMU will benefit.
4. Files of terminated employees - Some offices have a need or desire to retain files of terminated employees, while others wish to transfer them to an Employment Branch register location for storage. Either can be done using the microfilm. You should do this just as you would using the paper field files. We suggest that you write the date of termination on the microfiche envelope, plus any pertinent reemployment data, such as, an employment restriction and file the microfiche where you wish.
5. Blurred images - If a piece of microfiche is blurred or if you have to focus each image, it is likely that the microfiche is not properly loaded in the glass carrier of the reader. Pull the carrier out and insure that the microfiche is properly loaded on the bottom glass of the carrier.
6. Updates - The number of updates we distribute is extremely high. It is, of course, determined by the volume of material received by us. You can help control the number of updates by controlling (as much as possible) the volume of material being placed in a PHR. Review documents carefully to insure they will add to the value of a PHR. Consolidate papers as much as possible. For example, if you have a reclassification, it usually requires a 9880, a new job description, and a service review. By submitting all those papers together, you will receive one update rather than three if each were submitted separately.
7. Notes - If you have a need to add notes to your PHR copies, you can use the outside of the envelope or you can use a 4" x 6" index card which will fit into the microfiche envelopes.
8. Storage trays and cabinets have a set of 24 alphabetical dividers for filing. If you wish to further divide each of the 24 sections, you can order three position plain dividers and pressure sensitive labels to create as many dividers as you desire.

CHAPTER 133

TVA PERSONNEL PRACTICE

Human Resources is responsible for the official automated human resource data system for employees, former employees, applicants for employment, contractors, and former contractors. Human Resources and Administrative Systems of Information Services provides day-to-day operational support for this system. Safeguards for controlling access to human resource-related data have been established and are defined in this instruction.

CONTENTS

	Page
1.0 Scope	1
2.0 Definitions.....	1
3.0 Official Automated Human Resource Data System	2
4.0 Requests for Access to Automated Records	2
5.0 Requests for Amendment of Automated Records	2
6.0 Conditions and Restrictions for Accessing the Automated Human Resource Data System	3
7.0 Conditions and Restrictions for Accessing Automated EEO-Related Data	4
8.0 Privacy Act Summary and Penalties.....	5
Management Rationale	5
Authority	6
Other Sources of Information	6

PROCEDURE

1.0 SCOPE

This instruction describes the contents and use of the official TVA automated human resource data system. It describes and establishes conditions and restrictions for access to automated data and contains additional provisions that are applicable for accessing individually-identifiable equal employment opportunity (EEO)-related data.

2.0 DEFINITIONS

Automated Human Resource Data System ("the data system")--All automated data systems that contain information on individuals for which Human Resources and Administrative Systems provides operational support. Examples include the Employee Information System, Contractor Information System, Applicant Information System, Security and Suitability System, Employee Training System, Test Scores Data Base, and others.

EEO-Related Data--Individually identifiable data relating to race/ethnic group, disability, age, and/or sex.

Review of Instruction	
Date	Pages Revised
4-2-90	133-1 through 133-6

RECORDS

Automated Human Resource Data System

3.0 OFFICIAL AUTOMATED HUMAN RESOURCE DATA SYSTEM

3.1 Purpose of the Automated Human Resource Data System

The purpose of the automated human resource data system is to provide information officially recognized as pertinent to the management of human resources. The records serve as a basis for decisionmaking in the conduct of TVA business and are a principal source of information in responding to requests from inside and outside TVA. The records are also used to provide routine reports to the Office of Personnel Management.

3.2 Categories of Records in the System

The automated human resource data system contains information related to education; qualifications; work history; interests and skills; test results; performance evaluation; personnel actions; position description; salary and benefits; service dates, including other Federal and military service; and security investigation data.

4.0 REQUESTS FOR ACCESS TO AUTOMATED RECORDS

All formal requests for access are handled according to the general provisions in the TVA Instruction titled II PRIVACY PROCEDURES, ERM Chapter 131. Sections 6.0 and 7.0 of this instruction contain additional provisions for access to records.

- 4.1 Individuals request access to their automated records through their human resource officer (for employees) or their contract administrator (for contractors) in person or by mail. The recipient of the request will acknowledge its receipt and coordinate TVA's response. The individual may review his or her record at a time and place convenient to the individual and consistent with TVA business. The individual may also request printed copies of the record.
- 4.2 Former employees, former contractors, and job applicants request Employment Services in Human Resources, in person or by mail, for access to their records. Such requests are handled in accordance with the above procedures.

5.0 REQUESTS FOR AMENDMENT OF AUTOMATED RECORDS

- 5.1 An individual may request amendment or correction of his or her record to the extent permitted by the Privacy Act. A request for amendment, including any request by the individual to add or remove record material, should be addressed to the employee's human resource officer, the contractor's contract administrator, or Human Resources (for former employees, former contractors, or job applicants) and shall:
 - 5.1.1 Be in writing and signed by the individual.
 - 5.1.2 Name the TVA record system in which the information is located.

RECORDS

Automated Human Resource Data System

- 5.1.3 Describe the item or items of information to be amended.
- 5.1.4 Describe the nature of the amendment requested.
- 5.1.5 Give the reason for the requested change.
- 5.2 All such requests are handled in accordance with the general provisions of the TVA Instruction titled II PRIVACY PROCEDURES, ERM Chapter 131, including provisions for appeals, notification to previous recipients of amended records, and notations of dispute. All formal requests received by human resource officers or other TVA personnel should be forwarded immediately to Human Resources, Knoxville, who will coordinate TVA's response.

6.0 CONDITIONS AND RESTRICTIONS FOR ACCESSING THE AUTOMATED HUMAN RESOURCE DATA SYSTEM

The conditions and restrictions given in this part apply to any access and use of information in the automated human resource data system. If the accessed information includes EEO-related data, the provisions listed in section 7.0 of this instruction must be applied in addition to those given below.

- 6.1 Users who access the human resource data system must assume responsibility in accordance with the Privacy Act of 1974 and TVA policy for safeguarding the human resource-related data contained in the system and for the content and distribution of reports generated using system data. This responsibility includes taking precautionary measures necessary to prevent unauthorized uses and disclosures. See section 8.0 of this instruction for a summary of Privacy Act provisions and penalties.
- 6.2 Users will make no disclosures outside their organizations of lists of individuals from these records without the express written permission of Human Resources. Any disclosure will be limited to those specifically authorized in ERM Chapter 131, II PRIVACY PROCEDURES, and in ERM Chapter 135, RECORDS, Employee and Contractor.
- 6.3 Human Resources and Administrative Systems will establish passwords and other entry controls that will permit designated operators to retrieve selected data on individuals. The passwords will permit "retrieval only" and will not permit changing the data system content. Passwords will be randomly changed by Human Resources and Administrative Systems. The operator must be responsible for safeguarding passwords and will report to Human Resources and Administrative Systems, any suspected breach of security, including disclosure of a password. Human resource officers are able to update data system content in the normal course of processing personnel actions and corrections.
- 6.4 Computer programs required to retrieve information from the data system must be coordinated with Human Resources and Administrative Systems before their design and preparation.
- 6.5 The information contained in the data system will not be transferred to another automated record system either directly or indirectly without written approval by Human Resources.

RECORDS

Automated Human Resource Data System

- 6.6 The data system is under the custody of Human Resources. If violations of the Privacy Act occur or if the data system is misused (as defined by the conditions listed here), the Vice President of Human Resources can refuse access to them.
- 6.7 Human Resources and Administrative Systems will establish procedures to retrieve information from the data system. If an organization has a need for retrieval of information via new data elements, Human Resources and Administrative Systems will receive and process requests for these elements as expeditiously as possible.
- 6.8 All communication concerning these conditions should be directed to Human Resources and Administrative Systems.

7.0 CONDITIONS AND RESTRICTIONS FOR ACCESSING AUTOMATED EEO-RELATED DATA

Access to EEO-related data in the automated human resource data system is permitted only for those individuals who are specifically authorized by the Manager of Equal Opportunity to have such access. Pursuant to that authorization, any access to and use of EEO-related data must be in compliance with the conditions and restrictions given in this section in addition to the provisions in section 6.0 of this instruction.

These provisions are intended to help TVA organizations fulfill their affirmative action goals. The General Counsel and the Inspector General organizations are allowed access to and use of EEO-related data in carrying out their responsibilities. All organizations are required to comply with all applicable statutory and regulatory safeguards for such information.

- 7.1 Authorized users are granted access to race/ethnic, disability, and sex data on individuals pursuant to the general authorization granted by the Manager of Equal Opportunity under 29 Code of Federal Regulations section 1613.302. This information is highly sensitive. It may be used only for implementation, monitoring, and evaluation of affirmative action efforts under the applicable affirmative action plan. Any other use of this information or any disclosure in violation of those conditions and restrictions is subject to sanctions under TVA conduct regulations and the Privacy Act of 1974. Such sanctions may include administrative discipline including termination and criminal prosecution.
- 7.2 EEO-related data in the automated human resource data system will not be transferred to another automated record system either directly or indirectly without written approval by the Manager of Equal Opportunity.
- 7.3 Generation of paper copy that individually identifies race/ethnic, handicap, or sex group is to be avoided if possible. If such copy is made, it must be kept in a locked and secure location whenever it is not in use and must be destroyed immediately after it is no longer in active use. Any questions on the appropriateness of any use of individually identifiable race, ethnic, disability, and sex information should be directed to the Manager of Equal Opportunity.
- 7.4 Under no circumstances shall such information be disclosed to any person other than a human resource officer, a selecting supervisor, the administrative supervisor of each individual about whom information is disclosed, or an affirmative action planning coordinator unless approved by

RECORDS

Automated Human Resource Data System

the Manager of Equal Opportunity or his or her designee. When individually identifiable information is produced on paper, it must be placed in a sealed envelope, addressed, and marked "ADMINISTRATIVELY CONFIDENTIAL" and "PERSONAL--TO BE OPENED BY ADDRESSEE ONLY." The sealed envelope should be placed inside an interoffice chain envelope or other addressed envelope. The outside envelope should not be marked "ADMINISTRATIVELY CONFIDENTIAL" and "PERSONAL--TO BE OPENED BY ADDRESSEE ONLY."

- 7.5 Human resource officers, persons with affirmative action responsibilities, and/or selecting supervisors from other organizations may have access to individually identifiable data under the conditions imposed in item 7.3 above.
- 7.6 Any communication concerning the provisions for accessing EEO-related data should be directed to the Manager of Equal Opportunity, Human Resources.
- 7.7 If any of these conditions and restrictions are violated, the Manager of Equal Opportunity can refuse further access to the EEO-related data.

8.0 PRIVACY ACT SUMMARY AND PENALTIES

The criminal penalties provision of the Privacy Act of 1974, provides that:

Any officer or employee of an agency, who by virtue of his employment or official position, has possession of, or access to, agency records which contain individually-identifiable information the disclosure of which is prohibited by this section or by rules or regulations established thereunder, and who knowing that disclosure of the specific material is so prohibited, willfully discloses the material in any manner to any person or agency not entitled to receive it, shall be guilty of a misdemeanor and fined not more than \$5,000.

The Privacy Act's restrictions on disclosure are clearly set out in the TVA Code under II PRIVACY in the *General Releases Manual* and instructions under II PRIVACY PROCEDURES, ERM Chapter 131, and RECORDS, Employee and Contractor, ERM Chapter 135. Administrative discipline or other action could, of course, be imposed for an unauthorized nonwillful disclosure.

MANAGEMENT RATIONALE

Maintaining human resource data in an automated form provides TVA with a cost-efficient means of providing information to management for use in decisionmaking. Conditions and restrictions for access to automated data have been established for the protection of individual privacy. Safeguards also have been established to ensure the proper use of EEO-related data since TVA actively promotes equal opportunity in employment and selection.

RECORDS

Automated Human Resource
Data System

AUTHORITY

This instruction is in accord with the Privacy Act, 5 U.S.Code 552a; Executive Order 10450, and the Equal Employment Opportunity Act of 1972 (P.L. 92-261); TVA regulations under the Privacy Act; TVA's system of records notice covering PHRs published in the *Federal Register*; TVA Codes under II INFORMATION and III SELECTION in the *General Releases Manual*; Supplementary Agreements S-5 and S-11:K of the *Articles of Agreement*; provisions of the *General Agreements* between TVA and the Tennessee Valley Trades and Labor Council; and other codes and instructions that provide for special handling of records concerned with security, debt claims, medical examinations, and grievances. All general provisions contained in the TVA Code II PRIVACY in the *General Releases Manual* and in the TVA Instruction under II PRIVACY PROCEDURES, ERM Chapter 131, regarding collection, maintenance, use, and disclosure of personal information in records systems apply fully to personnel records.

OTHER SOURCES OF INFORMATION

More information on the automated human resource data system may be obtained from Policy and Evaluation and Employment Services in Human Resources, Human Resources and Administrative Systems in Information Services, as well as human resource officers and contract administrators.

CHAPTER 135

TVA PERSONAL HISTORY RECORDS AND CONTRACTOR HISTORY RECORDS

TVA PERSONNEL PRACTICE

Human Resources maintains the official TVA personal history records (PHRs) for present employees and for former employees whose records have not been sent to the National Personnel Records Center. Human Resources also maintains the official TVA contractor history records (CHRs) for individuals who presently are working under contract with TVA and for individuals who previously worked under contract with TVA. The original PHR and CHR are maintained on microfiche in a centralized file in Personnel Microrecords. A duplicate of the PHR is maintained by the employee's human resource officer, and a duplicate of the CHR is maintained in the office of the contract administrator responsible for the contractor. The duplicate copy serves as a working copy as well as a backup to the original PHR or CHR.

CONTENTS

	Page
1.0 Scope	1
2.0 Definitions.....	2
3.0 Official TVA PHR and CHR	2
4.0 Field Personnel or Contractor Records	4
5.0 Requests for Access to PHRs and CHRs	5
6.0 Requests for Amendments of PHRs and CHRs	6
7.0 PHR and CHR Security and Access Controls	6
8.0 Responding to Outside Requests for Information	8
9.0 Other Personnel-Related Records	15
Management Rationale	16
Authority	16
Other Sources of Information	16

PROCEDURE

1.0 SCOPE

This instruction explains the maintenance of PHRs and CHRs. It describes and establishes conditions for using the official TVA PHR and CHR, as well as duplicate PHR and CHR files maintained by organizations (field files). It does not apply to the contract under which these contractors are working nor does it apply to any special-purpose personnel or contractor records or record systems. These special records are described in section 9.0 of this release.

Review of Instruction	
Date	Pages Revised
4-2-90	135-1 through 135-16

RECORDS

Employee and Contractor

2.0 DEFINITIONS

Contractor--A person providing services to TVA pursuant to a contract, whether as a personal services contractor, consultant, or pursuant to a procurement contract. The individual may be contracting directly with TVA or may be working for a contractor under contract to TVA.

Contracting Company--A company or organization that actually employs a person providing services to TVA, and with whom TVA has entered into a contract.

Contract Administrator--The individual who is assigned responsibility for administrative recordkeeping for a group of contractors and/or contracts. For purposes of personnel administration, this responsibility is analagous to that of a human resource officer. Contract administrator responsibilities are assigned by the contracting TVA organization.

Consultant--For purposes of this instruction and the records described in the instruction, the term contractor includes consultants.

3.0 OFFICIAL TVA PHR AND CHR

3.1 Purpose of the PHR and CHR

PHRs and CHRs are maintained to provide information officially recognized and pertinent to record requirements. The PHR and CHR are the principal sources of information for responding to requests for information from inside and outside TVA.

The PHR provides information officially recognized and pertinent to personnel actions. The PHR serves as a basis but not the exclusive basis for appraisal of merit and efficiency in personnel selections. The file contains the documents TVA submits on request for an "Official Personnel Folder" from the Office of Personnel Management or other federal agencies.

The CHR serves as TVA's record of a contractor's period of service at TVA.

3.2 Description of PHR and CHR Contents

3.2.1 Material to be Included in the PHR and CHR

The PHR and CHR include material pertinent to officially recognized record requirements. The PHR also includes material pertinent to personnel actions. The PHR and CHR materials are restricted to official TVA forms and signed statements from management representatives. The PHR also is restricted to signed statements from accredited representatives of unions recognized by TVA and signed or sworn statements from the employee. In addition, the CHR is restricted to signed or sworn statements from the contracting company. The PHR and CHR may include the following:

RECORDS

Employee and Contractor

- **Qualifications information:**

Evidence of abilities, skills, training, and experience (for example, employee's application form for TVA employment); supplementary qualification facts from the employee, contractor, contracting company, employee's union representative, or employee's supervisor; test results; service evaluations; employee's position descriptions; TVA medical examination conclusions for employees; information on contractor's work assignments; and information on employee's work assignments not specifically covered in the position description.

- **Letters:**

Letters of reprimand, admonishment, caution, or warning are retained until recalled by a written request from the issuing organization's human resource office or contract administrator. When a reprimand, admonishment, caution, or warning is included in or used in support of an adverse, disciplinary, or other personnel action, the letter cannot be recalled until the adverse action is cancelled. Otherwise, the recall for this information in PHRs is made at the end of three years or earlier at the option of the employee's organization.

- **Other information:**

For employees--personnel action forms and correspondence with and about the employee pertaining to appointment, status change, leave of absence, separation, or reappointment; and information forms and correspondence regarding veterans' status, restoration rights status, or insurance status.

For contractors--forms documenting the contractor's period of service at TVA, status changes, transfers between work locations and personal information, for example, address, emergency contact, citizenship, etc.

3.2.2 Material Not To Be Included in the PHR and CHR

The PHR and CHR do not include correspondence regarding debt claims or unemployment compensation; security data; copies of tests administered; details of TVA medical examinations; records of appeal proceedings such as equal employment opportunity complaints or appeals; interview reports; reference letters; records of union membership; and general communications from or with elected officials or political appointees or their staffs that do not contain information based on personal knowledge of an employee's, former employee's, or present or former contractor's qualifications. Also excluded are records belonging to other federal agencies such as the Office of Workers' Compensation Programs and form-type documents such as letters of commendation that have been sent to many employees and contractors. The PHR does not include correspondence about grievances and Merit Systems Protection Board appeals. It also does not contain general notices of a pending reduction in force.

RECORDS

Employee and Contractor

3.2.3 Physical Standards

All documents submitted for inclusion in the PHR and CHR must meet the physical standards necessary for microfilming. Unless otherwise approved by Personnel Microrecords, the document must be the original, no larger than 8-1/2 x 11 inches, and preferably in black ink on white paper.

3.3 Adding Material to the PHR and CHR

Appropriate material to be filed in the PHR, other than personnel action forms and related documents, is sent through the human resource officer to Personnel Microrecords, Knoxville. Application forms, application supplement forms, and other qualification statements are included in the PHR when initiated by appropriate reviewing officers (for example, employment officers or human resource officers).

Personnel action forms and related documents are sent to Personnel Microrecords, Knoxville, for inclusion in the PHR.

Appropriate material to be filed in the CHR is sent through the contract administrator to Personnel Microrecords, Knoxville. Items also may be submitted by appropriate reviewing officials (for example, employment officers or human resource officers).

When incoming items or items already filed in the PHR or CHR appear inaccurate, incomplete, or not in accord with provisions of this release, Personnel Microrecords takes necessary action to resolve the matter.

3.4 Deleting Material from the PHR and CHR

Management instructions to remove, add, or correct any routine files material should be directed to the Supervisor, Personnel Microrecords, Knoxville.

3.5 Transfer of the PHR and CHR

Before implementing the microfiche PHR system, TVA transferred the PHRs of its separated employees to the National Personnel Records Center, St. Louis, Missouri, after five years of inactivity. The center returns PHRs on request by Human Resources for temporary reference or for reemployment purposes. Return time varies but generally is at least three weeks. Microfiche PHRs are not transferred to the National Personnel Records Center.

When another federal agency notifies TVA that it desires transfer of a former contractor's record or the record of a former TVA employee it has appointed, Employment Services forwards a copy of the CHR or PHR, which like the original is in microfiche format, to the requesting agency.

4.0 FIELD PERSONNEL OR CONTRACTOR RECORDS

All personnel and contractor records, regardless of their location, must be maintained in accordance with the TVA Code II PRIVACY in the *General Releases Manual*, the TVA Instruction under

RECORDS

Employee and Contractor

II PRIVACY PROCEDURES, ERM Chapter 131, and the provision in this instruction for protecting the privacy of the individuals to whom the records pertain.

4.1 Field Files

Human resource offices maintain microfiche copies of the PHRs and CHRs to serve as field files for reference and as backup copies of the original (microfiche) PHRs and CHRs. Each of these microfiche copies of PHRs and CHRs is replaced in whole or in part with an updated copy every time the original PHR or CHR in Personnel Microrecords is revised, except for the PHRs when changes in base pay rates result from salary policy and trades and labor negotiations. The form TVA 9880 is not printed for the base rate changes.

Field files of employees transferred within TVA are forwarded to the new employing organization; field files of contractors transferred within TVA are forwarded to the new contract administrator. Field files of terminated employees and contractors no longer working at TVA are retained only as long as needed for reference, normally not longer than three months after the employee's termination date or the contractor's last workday. Destruction of the inactive field file is the responsibility of the organization in which it is located.

4.2 Supervisor/Administrative Files (S/A Files)

Maintenance of S/A files is discouraged for locations where the microfiche field file and related equipment are readily accessible to the supervisor. However, supervisors or administrative officers acting for local supervisors may maintain paper records of personnel or contractor information that is required to carry out the supervisor's personnel-related responsibilities. S/A files normally contain not more than the most recent copy of the employee's position description, form TVA 9880, and service report; and for the contractor, the Contractor Information Record (form TVA 13043), position description (if applicable) and supporting documents.

Individual documents in the S/A file are destroyed when they are superseded or when they are no longer needed for reference. The entire S/A file is destroyed when the individual leaves the organization where the file is maintained.

5.0 REQUESTS FOR ACCESS TO PHRs AND CHRs

All formal requests for access are handled according to the general provisions in the TVA Instruction II PRIVACY PROCEDURES, ERM Chapter 131. Additional information on access controls also may be found in section 7.0 of this instruction.

- 5.1 Employees request access to their PHRs through their human resource officer, and contractors request access to their CHRs through their contract administrator; the requests are made in person or by mail. The human resource officer and contract administrator will acknowledge their receipt and coordinate TVA's response. The individual may inspect the PHR or CHR at a time and place convenient to the individual and consistent with TVA policy. The individual also may request copies of the material.
- 5.2 Former employees and contractors request Employment Services in Human Resources, in person or by mail, for access to their PHRs and CHRs. Such requests must include the individuals' social security numbers and are handled in accordance with the above procedures.

RECORDS

Employee and Contractor

- 5.3 Prior to making a PHR available to an employee or that employee's authorized representative, the responsible human resource officer will review the PHR and withhold information which would reveal the identity of a source who furnished information to the government under an express promise of confidentiality or, prior to September 27, 1975, under an implied promise of confidentiality. The human resource officer will also withhold information if disclosure would compromise the objectivity or fairness of any TVA testing or examination process.

6.0 REQUESTS FOR AMENDMENTS OF PHRs AND CHRs

All formal requests from individuals (present and former employees and present and former contractors) for amendments of PHRs and CHRs will be handled in accordance with the general provisions in the TVA Instruction II PRIVACY PROCEDURES, ERM Chapter 131, including provisions for appeals, notification to previous recipients of amended records, and notations of dispute.

- 6.1 A request for amendment, including any request by the individual to add or remove record material, should be addressed to the employee's human resource officer and the contractor's contract administrator and shall:

- 6.1.1 Be in writing and signed by the individual.
- 6.1.2 Name the TVA record system in which the information is located.
- 6.1.3 Describe the item or items of information to be amended.
- 6.1.4 Describe the nature of the amendment requested.
- 6.1.5 Give the reason(s) for the requested change.

- 6.2 All formal requests received by human resource officers, contract administrators, or other TVA personnel should be forwarded immediately to Human Resources, Knoxville, who will coordinate TVA's response.

Note: These provisions do not apply to the routine addition or deletion of PHR or CHR material by authorized personnel. See 3.3, "Adding Material to the PHR and CHR," and 3.4, "Deleting Material from the PHR and CHR."

7.0 PHR and CHR SECURITY AND ACCESS CONTROLS

- 7.1 The security and confidentiality of PHRs and CHRs are protected. Security measures are established as necessary to provide a reasonable degree of protection against unauthorized disclosure, destruction, or modification of personal data.
- 7.2 To ensure record security and integrity, PHRs and CHRs are maintained in locked files or offices when unattended. This includes the original PHR or CHR, copies of PHRs and CHRs, and any field records that contain information other than that of a public nature.

RECORDS

Employee and Contractor

7.3 All access to PHRs and CHRs is through human resource officers for present employees and through the contract administrators for present contractors. This access is through Employment Services in Human Resources for former employees and contractors. All access is limited to access necessary for the performance of official TVA duties. No employee or contractor may have access to the PHR or CHR of a person who is administratively over him or her, except when it is a requirement of the employee's or contractor's position to have such access; for example, a human resource officer must have access to PHRs of all employees that he or she serves.

7.4 Responsibility of Individuals Charged With PHRs or CHRs

Copies of the original PHR and CHR retained in Personnel Microrecords are provided to human resource officers, contract administrators, and other employees who need the information to perform their official TVA duties. The human resource officer and contract administrator are responsible for the security and control of all PHRs and CHRs received by their offices. Each human resource officer, contract administrator, and any other persons charged a PHR by a human resource officer or a CHR by the contract administrator are responsible for the following:

7.4.1 To see the PHR or CHR is used for TVA-authorized purposes only. This responsibility includes taking all precautionary measures necessary to prevent unauthorized disclosures, for example:

- Routing the PHR or CHR in a sealed envelope or a secure package, addressed, and labeled "Administratively Confidential." The sealed envelope should be placed inside an interoffice chain envelope or other addressed envelope. The outside envelope should not be marked "Administratively Confidential."
- Establishing the identity of persons to whom information is released. This may be done by noting the organization letterhead used in written inquiries or credentials presented in personal contacts. If the voice in a telephone inquiry is not recognized, a return call should be placed to the telephone number given.
- Identifying the portion of the record an inquirer may examine, taking necessary measures to limit the examination accordingly, and cautioning the reviewer about unauthorized disclosures.

7.4.2 To comply with the disclosure conditions established in this release.

7.4.3 To protect the record from damage.

7.4.4 To keep the record on TVA property or in the custody of authorized TVA employees unless authorized otherwise.

7.4.5 To return the PHR promptly to the human resource officer and to return the CHR promptly to the contract administrator's office.

7.4.6 To notify the human resource officer before a PHR is turned over to another person and to notify the contract administrator before a CHR is turned over to another person. This notification is essential for the human resource officer and contract administrator to maintain control and accountability of PHRs and CHRs charged out.

7.4.7 To ensure that those people who possess PHRs and CHRs are aware of these responsibilities.

RECORDS

Employee and Contractor

7.5 Reproducing PHR and CHR Items

- 7.5.1 When information authorized for release can be made available more conveniently by reproducing a copy than in another way or when the request specifies copies of PHR or CHR materials, the human resource officer or contract administrator may have copies reproduced. These offices also may certify that the copies are made from the official PHR or CHR copy. When responding to requests for a PHR or CHR from outside TVA, the usual format in which the copy is to be made available is microfiche.
- 7.5.2 Questions about TVA policy on reproducing PHR or CHR materials should be addressed to Policy and Evaluation, Human Resources, Knoxville.

8.0 RESPONDING TO OUTSIDE REQUESTS FOR INFORMATION

- 8.1 The Privacy Act of 1974 prohibits disclosure of information from PHRs and CHRs except as authorized by the Privacy Act. Disclosure of information in violation of the act may subject an individual to a criminal charge punishable by a fine of up to \$5,000 and also may subject TVA to civil liability in damages.

Information maintained in TVA PHRs and CHRs will not be disclosed outside TVA except pursuant to a written request by or prior written consent of the individual to whom the record pertains unless specifically authorized below, in TVA Code II PRIVACY in the *General Releases Manual*, or by the Privacy Act. Such authorization does not require disclosure of records. TVA will bear in mind other considerations concerning disclosure, including, where appropriate, the possible adverse effect such disclosure may have on the individual.

- 8.2 A request for a PHR or CHR, in whole or in part, from a TVA employee or contractor other than the individual to whom the record pertains or from an employee or contractor who needs such information to perform his or her official TVA duties is handled the same as a request from outside TVA.

8.3 General Instructions

In responding to outside requests for information about employees, former employees, contractors, and former contractors, the following general provisions apply:

- 8.3.1 In all instances involving INFORMATION NOT OF A PUBLIC NATURE, the inquirer's identity should be ascertained with reasonable certainty. This may be done by noting the organization letterhead used in written inquiries or by reviewing credentials presented in personal contacts. If the voice in a telephone inquiry is not recognized, a return call should be made to the telephone number given.
- 8.3.2 Any request for release of information not expressly covered in this instruction must be accompanied by a statement signed by the employee, former employee, contractor, or former contractor specifically authorizing the information's release. It may be appropriate to inform the inquirer that knowingly or willfully seeking or obtaining access to information about another person under false pretenses is punishable by a fine of up to \$5,000.

RECORDS

Employee and Contractor

- 8.3.3 A copy (machine copy, if response is on a form provided) of responses, including a notation of verbal responses, is sent to Personnel Microrecords, Knoxville.
- 8.3.4 Generally, Employment Services in Human Resources responds to requests about former employees and former contractors; the organizations respond to requests about present employees; and the contract administrators respond to requests about present contractors. However, requests from Members of Congress are handled by Human Resources or the former employees' organizations for the signature of the Chairman of the Board, the Chief Operating Officer, or the Chief Operating Officer's designee. (See TVA Instruction VI CORRESPONDENCE in the *General Releases Manual*.) Inquiries received by Human Resources but to be answered by an employee's organization or a contractor's organization are sent to the appropriate human resource officer or contract administrator.

With the concurrence of the organization concerned, Human Resources may respond to inquiries about present employees and contractors when it is jointly determined that a Human Resources response would be more expeditious or convenient than an organization response. Because some inquiries concern employees and contractors in more than one organization, it may be most convenient for Human Resources to collect the requested information from each organization and prepare a single reply.

- 8.3.5 The information requested about current employees, former employees, current contractors, and former contractors may include items not available in the PHR or CHR.

In answering such inquiries about current and former employees and current and former contractors, Human Resources may need to obtain information from the employee's or contractor's organization, the Finance organization, the contracting officer, Medical Services, and other organizations as required, when a Human Resources reply is more efficient than separate organization replies. When information must be obtained from more than one system of records, the required accounting of disclosure (see below) must be made in each of the systems. See section 8.5.7 for further information.

- 8.3.6 Requests to verify information are treated under the same constraints as requests to furnish information.

8.4 Requests for Information of a Public Nature

- 8.4.1 TVA recognizes that certain information items are of a public nature (that is, their disclosure does not constitute an invasion of personal privacy), thereby not requiring the individual's consent before disclosure.

For an employee, those items that are of a public nature are the employee's name, job title, type of appointment, grade or pay group, pay rate (if employee is covered by a merit pay plan, the pay range rather than the specific pay rate), employment dates, and duty station. For a contractor, those items are a contractor's name, job title, rate at which the contract specifies payment, and duty station. The release of other information for the employee or contractor, including home address, actual earnings, and age, is not permitted except as specifically authorized below.

RECORDS

Employee and Contractor

- 8.4.2 Upon request, information items of a public nature, including lists of names, are made available by Human Resources. It is improper to inquire whether the information will be used for political, commercial, or solicitation purposes.

TVA is entitled to reimbursement for the cost incurred in the search and/or duplication of these lists. If the request refers specifically to the Freedom of Information Act or TVA's published regulations under that act, the request should be transmitted to the Communications organization, along with the responsive record.

In no instances are lists of names sold or rented by TVA unless such action is authorized specifically by law. This prohibition on sale or rental does not include fees for preparation cost allowed under TVA regulations.

8.5 Requests for Information Not of a Public Nature

Except as otherwise noted below, Human Resources will respond to such requests. In all cases, information disclosed will be limited to information necessary for complying with the request.

8.5.1 Administrative, Judicial, or Law Enforcement Proceedings

Information from any PHR or CHR may be disclosed:

- To make a referral where there is an indication of a violation or potential violation of law, whether criminal, civil, or regulatory in nature, to the appropriate federal, state, or local agency charged with the responsibility of investigating and prosecuting the violation or charged with enforcing or implementing the statute, rule, regulation, or order. Such disclosures are coordinated with the General Counsel organization.
- In litigation to which TVA is a party or in which TVA provides legal representation for a party by TVA attorneys or otherwise for use for any purpose including the presentation of evidence and disclosure in the course of discovery. Such disclosures are made by the General Counsel organization. In all other litigation, to respond to process issued under color of authority of a court of competent jurisdiction. For more information, see below under the heading "Subpoenas."
- To the parties or complainants, their representatives, impartial referees, examiners, administrative judges, or other decisionmakers in proceedings under the TVA grievance adjustment procedures, Equal Employment Opportunity procedures, Merit Systems Protection Board, or similar procedures.
- In response to a written request from a federal, state, or local agency in connection with its authorized enforcement of child support or for other valid law enforcement activities. The request must state the purpose for which the information will be used.

RECORDS

Employee and Contractor

- **Subpoenas**

If a subpoena or other judicial order requiring disclosure of a PHR or CHR in court or other legal proceedings is served on an individual, the General Counsel organization should be notified immediately. Subject to the instructions of the General Counsel organization, the individual may disclose the contents. However, the individual should retain custody of the record.

When records pertaining to an individual are disclosed pursuant to an order signed by a judge, TVA will make a reasonable effort to inform the individual of such disclosure when the order becomes a matter of public record.

8.5.2 Government Agencies and Congress

Information may be used:

- To disclose test results to state employment services.
- To respond to a request from a Member of Congress regarding the status of an employee, former employee, contractor, former contractor, or applicant.
- To either House of Congress, or to the extent of matter within its jurisdiction, any committee or subcommittee thereof, any joint committee of Congress or subcommittee of any such joint committee.
- To disclose to any federal government agency in connection with its oversight or review authority regarding TVA activities.
- To provide to the Office of Personnel Management, as requested, in connection with Executive Orders 10450 and 10577 and other laws.
- To the Bureau of the Census for purposes of planning or carrying out a census or survey or related activity pursuant to the provisions of Title 13 of the United States Code.
- To disclose to a state employment security office information relating to a former employee's or contractor's claim for unemployment compensation. For employees, such requests may be answered by human resource officers, Human Resources, or the Finance organization. For contractors, such requests may be answered by human resource officers, contract administrators, Human Resources, or the Finance organization.
- To respond to a request by a federal agency regarding the hiring or retention of an employee or a contractor; the letting of a contract; or issuance of a license, grant, or other benefit by the requesting agency.
- To provide information to a federal, state, or local agency in connection with its oversight review responsibilities or authorized law enforcement activities.

RECORDS

Employee and Contractor

- To transfer information needed to support a claim for an employee's life insurance benefits to the Office of Federal Employees' Group Life Insurance.
- To the National Archives and Records Administration as a record which has sufficient historical or other value to warrant its continued preservation by the United States Government, or for evaluation by the Archivist of the United States or the designee of the Archivist to determine whether the record has such value.

8.5.3. Credit Agencies and Creditors

Such agencies may be given only public-nature type information. Inquirers seeking TVA's assistance in getting an employee or contractor to make satisfactory debt arrangements are informed that earnings of TVA employees and contractors are subject to garnishment. The inquirers also are informed that those claims against employees are referred to Employee Accounting, Finance, TVA, Knoxville, Tennessee 37902; and all claims against contractors should be referred to the contracting companies that employ the contractors. Claims other than garnishments for TVA employees are referred to Employment Services, Human Resources, TVA, Knoxville, Tennessee 37902. (See ERM Chapter 331, DEBT CLAIMS AGAINST PAY, Processing.)

8.5.4 Prospective Private Employers

In reply to inquiries from prospective employers of present or former TVA employees or contractors, information about position descriptions and reasons for separation, in addition to information of a public nature, may be given. Such requests may be answered by Employment Services or, for present contractors, by the contract administrator or, for present employees, by the human resource officer.

Information about service evaluation is not given. When the request is for TVA to suggest possible candidates for employment, response is not made without the candidate's consent.

8.5.5 Personal Response by Supervisors

When an outside inquiry is made directly to a supervisor for personal knowledge about a present or former employee or contractor, the supervisor may respond, making it clear the response is based on personal knowledge and is not an official TVA response based on the TVA record. The supervisor does not use TVA letterhead for his or her personal response.

If the inquiry, however, is received by the human resource officer or other TVA official requesting a personal response by the supervisor, it is not forwarded to the supervisor but handled as an official TVA response within the constraints of this instruction.

8.5.6 Information About Decedents

As a general rule, information about deceased employees and contractors should be released outside TVA only to executors or administrators of the decedent's estate,

RECORDS

Employee and Contractor

surviving spouse, or next of kin. All other inquiries from outside TVA concerning a deceased employee should be directed to the Communications organization. For employees, for providing information about a service-connected death, see the TVA Instruction III TERMINATION, Death, ERM Chapter 771, about action by the employee's organization, Human Resources, and Communications.

For contractors, inquiries about the deceased individual in cases of death should be directed to the contracting company. Where no contracting company exists, the inquiry should be directed to Communications, which will coordinate the response with Human Resources and others as appropriate.

8.5.7 Medical, Accounts Payable, Payroll, Retirement, or Other Information

Inquiries or that part of an inquiry relating to medical, accounts payable, payroll, retirement, or other information about an employee or contractor should be directed to Medical Services, the Finance organization, or other organizations for reply. See section 8.3.5 for further information.

8.5.8 State or Local Tax Authority

Social security account number and place of actual residence of employees and contractors shall be disclosed to a state or local tax authority.

8.5.9 Disclosures Related to TVA Human Resource Management

Information may be used to request from any pertinent source, directly or through a TVA contractor engaged at TVA's direction, information relevant to a TVA decision concerning the hiring, retention, or promotion of an employee, the issuance of a security clearance, or other decision within the purposes of the maintenance of PHRs and CHRs. Information may also be disclosed to TVA contractors engaged at TVA's direction in studies and evaluation of TVA personnel management and benefits or the investigation of nuclear safety, reprisal, or other matters involving TVA personnel practices or policies.

8.5.10 Records of Other Agencies

Disclosure of information contained in records in TVA's possession that are the official property of other federal agencies will not be disclosed without the prior consent of those agencies unless required by law.

8.5.11 Disclosures Made with Written Consent

Disclosures of employee or contractor information pursuant to the express written consent of the individual and not authorized otherwise in this instruction may be made by the employee's human resource officer or Personnel Microrecords and by the contractor's contract administrator or by the contracting officer.

RECORDS

Employee and Contractor

8.5.12 Other Disclosures for Employees

Information also may be:

- Transferred to a health insurance carrier if related to a claim for health insurance benefits.
- Disclosed to union representatives in exercising their responsibilities under TVA collective bargaining agreements.
- Disclosed to local school districts and other government agencies in order to study TVA project impacts and to aid school districts in qualifying for assistance under Public Law 81-874 and other laws.
- Used to commemorate the month and day of employee birthday anniversaries.
- Disclosed to a person pursuant to a showing of compelling circumstances affecting the health or safety of an individual if upon such disclosure notification is transmitted to the last known address of such individual.
- Disclosed to a recipient who has provided TVA with advance adequate written assurance that the record will be used solely as a statistical research or reporting record, and the record is to be transferred in a form that is not individually identifiable.

8.6 Accounting for Disclosures

8.6.1 TVA maintains an accounting of disclosures, written or verbal, from individuals' PHRs and CHRs except when a disclosure would be required under the Freedom of Information Act and those disclosures made pursuant to the Freedom of Information Act or to TVA employees who need the records to perform their duties or disclosures of public-type information or when TVA publishes aggregate data not identifying any individual. This accounting includes:

- Any necessary written consent authorizing the disclosure and any written documentation required for disclosures for statistical research or law enforcement purposes;
- The date, nature, and purpose of each disclosure, including the specific information disclosed;
- The name and address of the person or agency to whom the disclosure is made; and
- Copies of written replies to inquiries or notations of verbal replies.

This accounting is required even when the disclosure is made at the request of or with the consent of the individual.

RECORDS

Employee and Contractor

- 8.6.2 The accounting is maintained by the organizations responsible for the records. Organizations maintaining these records must be able to provide information about disclosures on short notice.
- 8.6.3 The accounting allows individuals to learn to whom their records have been disclosed and to provide a basis for advising the records' recipients of any correction or notation of dispute. The accounting is made available to the individual on request except for any accounting of disclosures made to another agency or to an instrumentality of any governmental jurisdiction within or under the control of the United States for a civil or criminal law enforcement activity if the activity is authorized by law, and if the head of the agency or instrumentality has made a written request to TVA specifying the particular portion desired and the law enforcement activity for which the record is sought.

9.0 OTHER PERSONNEL-RELATED RECORDS

TVA maintains other personnel-related records and record systems. Provisions included in this release regarding requests for employee or contractor access to and amendment or correction of records and replies to outside inquiries for information do not apply to these other records and record systems. TVA officials responsible for these records and systems apply provisions published in the *Federal Register*, the TVA Code II PRIVACY in the *General Releases Manual*, and the TVA Instruction under II PRIVACY PROCEDURES, ERM Chapter 131, regarding the handling of such requests and inquiries. Salient features of these provisions are noted below:

- 9.1 Apprentice Training Record System includes both the automated and hard copy records of current and former TVA apprentices. Requests for access and amendment are addressed to the Manager of Labor Relations.
- 9.2 Employment applicant files are maintained by Employment Services and individual organizations, which handle or refer all requests and inquiries related to those files.
- 9.3 Grievance records are maintained by Labor Relations, which handles all requests and inquiries related to them.
- 9.4 Consultant and personal services contract records are maintained by responsible organizations with payment records located in the Finance organization. All requests and inquiries are handled by individual organizations, coordinating as necessary with the Finance organization.
- 9.5 Security records are maintained by Personnel Screening and Badging, Nuclear Power, which handles all requests and inquiries.
- 9.6 Human Resources is responsible for the official automated human resource data system. The accessibility and distribution of automated data are restricted to protect an individual's privacy. Distribution of any automated data is limited to uses specifically authorized by Human Resources or as directed by the Manager of Equal Opportunity regarding minority group data. As an additional safeguard, organization authority for automated data retrieval generally is restricted to certain categories of data pertaining only to those employees or contractors in that organization.

RECORDS

Employee and Contractor

Unauthorized disclosure of the data subjects responsible TVA employees or contractors working under direction of TVA to the same penalties as would disclosure of other personal information. (These penalties are described in the TVA Instruction II PRIVACY PROCEDURES, ERM Chapter 131.) Human Resources issues special instructions relating to procedures for requesting and justifying access to automated human resource data and special security provisions to be observed when using such data in addition to the provisions applicable to all personnel records in "PHR and CHR Security and Access Controls" (Section 7.0).

MANAGEMENT RATIONALE

The maintenance of certain employee and contractor records is necessary for use in the appraisal of merit and efficiency in personnel selections and for other purposes related to human resource and contract management. The material should be assembled in a standardized arrangement and should be current and accurate; its availability should be controlled. Human Resources is responsible for assembling, maintaining, and releasing information contained in the PHR and CHR.

AUTHORITY

This instruction is in accord with the Privacy Act, 5 U.S. Code 552a; TVA regulations under the Privacy Act; TVA's system of records notice covering PHRs published in the *Federal Register*; TVA Codes under II INFORMATION and III SELECTION in the *General Releases Manual*; Supplementary Agreements S-5 and S-11:K of the *Articles of Agreement*; provisions of the *General Agreements* between TVA and the Tennessee Valley Trades and Labor Council; and other codes and instructions that provide for special handling of records concerned with security, debt claims, medical examinations, and grievances. All general provisions contained in the TVA Code II PRIVACY in the *General Releases Manual* and in the TVA Instruction under II PRIVACY PROCEDURES, ERM Chapter 131, regarding collection, maintenance, use, and disclosure of personal information in records systems apply fully to personnel records.

OTHER SOURCES OF INFORMATION

More information on PHRs and CHRs may be obtained from Policy and Evaluation and Employment Services in Human Resources, as well as human resource officers and contract administrators.

3.14 Request for Official Personnel Folder

After the employee transfers to TVA, TVA's Payroll Operations completes Standard Form 50, Notification of Personnel Action, and sends the form to the other Federal agency. Upon receipt of Standard Form 50, the agency will send the transferred employee's official personnel folder, along with leave records, to TVA .

4.0 TRANSFERS FROM TVA TO THE COMPETITIVE CIVIL SERVICE UNDER THE INTERCHANGE AGREEMENT BETWEEN TVA AND OPM (FEDERAL TRANSFERS)

This section describes both eligibility for a transfer from TVA to the competitive civil service under the interchange agreement as well as general information on the benefits of transferred employees. The benefit information is provided for guidance only. The hiring agency makes the final determination as to the benefits for which the transferred employee is eligible.

4.1 Eligibility

To be eligible for selection and transfer to another Federal agency under the interchange agreement, a TVA employee must meet the requirements listed in either section 4.1.3 or 4.1.4 below plus the other following requirements:

4.1.1 The employee's TVA appointment must be salary policy prepermanent or permanent.

4.1.2 The employee must have completed one year of current continuous TVA service.

4.1.3 The employee must transfer without a break in service of one workday or more.

Or

4.1.4 The employee must transfer within one year after being involuntarily separated without personal cause from TVA.

4.1.5 The other Federal agency's position must be a continuing position under a career-conditional or career appointment.

4.1.6 The employee must meet the qualification standards and requirements for the position.

4.2 Selection

Eligible TVA employees may be considered at the discretion of an appointing officer for positions in the competitive civil service in the same manner that employees of the competitive service may be considered for transfer to such positions.

4.3 Type of Appointment Granted After Transfer (Tenure)

The type of appointment is determined by the agency to which the employee transfers. As a general rule, if a prepermanent or permanent employee is selected by another Federal agency, the transferring employee's type of appointment in the competitive civil service position is career if