

FTC-II-4

System name:

Counseling Records -- FTC.

Security classification:

Not applicable.

System location:

Federal Trade Commission, 6th Street and Pennsylvania Avenue, NW., Washington, DC 20580.

Categories of individuals covered by the system:

Current employees of the Federal Trade Commission who seek counseling assistance through the Division of Personnel.

Categories of records in the system:

Counseling notes and Individual Development Plans related to Upward Mobility, Professional Training, Executive Development, and Employee Relations matters. Letters from creditors about debts owed by current employees and copies of employee responses. Records concerning time and expenses of employee involved in activities on behalf of labor organization representing agency employees, including accounting of official time spent and documentation in support of per diem and travel expenses.

Authority for maintenance of the system:

*5 U.S.C. 4101* et seq.; Executive Orders 9830, 11348, and 11478; Equal Opportunity Act of 1972.

Purpose(s):

To provide counseling to Commission employees and to maintain records of those activities.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

In addition to the disclosures generally permitted under *5 U.S.C. 552a(b)*, and the disclosure provisions described in Appendix I of this notice, records or information in these records may be specifically disclosed pursuant to *5 U.S.C. 552a(b)(3)* as follows, provided that no routine use specified either herein or in Appendix I shall be construed to limit or waive any other routine use:

(1) Upward Mobility, Professional Training and Executive Development -- used by program director or others whose official duties require such information to assist in providing effective counseling to employees; to provide a record of employee goals and objectives and classes needed to attain those objectives; and to maintain a record of courses taken;

(2) Employee Relations and Debt -- used by Employee Relations Specialist or others whose official duties require such information. Information provides a record of counseling provided and resolution of problem(s). If the problem results in a disciplinary action, information in file may become part of an official record;

(3) Labor Relations -- Used by Labor Relations Specialist and others whose official duties require such information. Provides a record of official time used and travel and per diem money spent while attending to union business. Information disclosed to officials of labor organizations recognized under *5 U.S.C. 7101* et seq. when relevant and necessary to their duties as exclusive representative;

(4) Information disclosed to the Federal Labor Relations Authority (including its General Counsel) when requested in connection with investigation and resolution of allegations of unfair labor practices, in connection with the resolution of exceptions to arbitrator's awards where a question of material fact is raised and matters before the Federal Service Impasses Panel; and

(5) All Records -- Referral to the Office of Personnel Management concerning pay, benefits, retirement deductions, and other information necessary for the Commission to carry out its government-wide personnel management functions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Indexed by individual's name.

Safeguards:

Records are stored in lockable metal file cabinets. Access to these records is limited to those persons whose duties require such access.

Retention and disposal:

Records are destroyed after completion of the program (Upward Mobility, Professional Executive Development Programs) or after employee's separation from the agency (Employee Relations and Debt Counseling).

System manager and address:

Director, Division of Personnel, Federal Trade Commission, 6th Street and Pennsylvania Avenue, NW., Washington, DC 20580.

Notification procedure; record access procedure; and contesting record procedure:

See Appendix II.

Record source categories:

Individual about whom the records pertain, supervisors, program managers, counselor.