

# **OPM/Internal-11, Administrative Grievance Records**

58 FR 19154 (04/12/1993), 60 FR 63075 (12/08/1995), Prefatory Statement of Routine Uses, 87 FR 5874 (2/2/2022)

*This unofficial consolidation of OPM/Internal-11 is from the U.S. Office of Personnel Management Privacy Website at <https://www.opm.gov/privacy>.*

## **SYSTEM LOCATION:**

Office of Human Resources and EEO, Office of Personnel Management, 1900 E Street, NW, Washington, DC 20415-0001.

## **SYSTEM MANAGER(S):**

Director, Office of Human Resources and EEO, Office of Personnel Management, 1900 E Street NW, Washington, DC 20415.

## **CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Current or former OPM employees who have filed grievances under OPM's administrative grievance procedures in accordance with part 771 of OPM's regulations (5 CFR part 771).

## **CATEGORIES OF RECORDS IN THE SYSTEM:**

The system contains records relating to grievances filed by OPM employees under administrative procedures and in accordance with part 771 of OPM's regulations. These case files contain all documents related to the grievance including statements of witnesses, reports of interviews and hearings, examiner's findings and recommendations, a copy of the original decision, and related correspondence and exhibits. This system does not include files and records of any grievance filed under negotiated procedures with recognized labor organizations.

## **AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

Includes the following with any revisions or amendments: 5 CFR part 771.

## **PURPOSE(S) OF THE SYSTEM:**

These records are used to process grievances submitted by OPM employees for personal relief in a matter of concern of dissatisfaction which is subject to the control of agency management.

## **ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND PURPOSES OF SUCH USES:**

Routine uses 1 through 11 of the Prefatory Statement at the beginning of OPM's system notices apply to the records maintained within this system. The routine use listed below is specific to this system of records only.

To disclose information to any source from which additional information is required in the course of processing a grievance, to the extent necessary to identify the individual, inform the source of the purpose(s) of the request, and identify the type of information requested.

- To appropriate agencies, entities and persons when (1) OPM suspects or has confirmed that there has been a breach of the system of records, (2) OPM has determined that as a result of the suspected or confirmed breach there is a risk of harm to individuals, OPM (including its information systems, programs and operations), the Federal Government, or national security; and (3) the disclosure made to such agencies, entities, and persons is reasonably

necessary to assist in connection with OPM's efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm.

- To another Federal agency or Federal entity, when OPM determines that information from this system of records is reasonably necessary to assist the recipient agency or entity in (1) responding to a suspected or confirmed breach or (2) preventing, minimizing, or remedying the risk of harm to individuals, the recipient agency or entity (including its information systems, programs and operations), the Federal Government, or national security, resulting from a suspected or confirmed breach.

#### **POLICIES AND PRACTICES FOR STORAGE OF RECORDS:**

These records are maintained in file folders.

#### **POLICIES AND PRACTICES FOR RETRIEVAL OF RECORDS:**

These records are retrieved by the names of the individuals on whom they are maintained.

#### **ADMINISTRATIVE, TECHNICAL, AND PHYSICAL SAFEGUARDS:**

These records are maintained in lockable metal filing cabinets to which only authorized personnel have access.

#### **POLICIES AND PRACTICES FOR RETENTION AND DISPOSAL OF RECORDS:**

These records are disposed of 3 years after closing of the case. Disposal is by shredding or burning.

#### **NOTIFICATION PROCEDURES:**

It is required that individuals submitting grievances be provided a copy of the record under the grievance process. They may, however, contact the personnel office regarding the existence of such records on them. They must furnish the following information for their records to be located and identified:

- a. Name.
- b. Date of birth.
- c. Approximate date of closing of the case and kind of action taken.
- d. Organizational component involved.

#### **RECORD ACCESS PROCEDURES:**

It is required that individuals submitting grievances be provided a copy of the record under the grievance process. After the action has been closed, an individual may request access to the official copy of the grievance file by contacting the personnel office. Individuals must furnish the following information for their records to be located and identified:

- a. Name.
- b. Date of birth.
- c. Approximate date of closing of the case and kind of action taken.
- d. Organizational component involved.

Individuals requesting access must also follow OPM's Privacy Act regulations regarding verification of identity and access to records (5 CFR part 297).

#### **CONTESTING RECORD PROCEDURES:**

Review of requests from individuals seeking amendment of their records which have been the subject of an administrative, judicial, or quasi-judicial action will be limited in scope. Review of amendment requests of these records will be restricted to determining if the record accurately

documents the ruling on the case, and will not include a review of the merits of the action, determination, or finding.

Individuals wishing to request amendment of their records to correct factual errors should contact the personnel office. Individuals must furnish the following information for their records to be located and identified:

- a. Name.
- b. Date of birth.
- c. Approximate date of closing of the case and kind of action taken.
- d. Organizational component involved.

Individuals requesting amendment must also follow OPM's Privacy Act regulations regarding verification of identity and amendment of records (5 CFR part 297).

**RECORD SOURCE CATEGORIES:**

Information in this system of records is obtained from:

- a. The individual on whom the record is maintained.
- b. Testimony of witnesses.
- c. Agency officials.
- d. Related correspondence from organizations or persons.