

**RECORD SOURCE CATEGORIES:**

Customers, recipients, financial institutions, and USPS employees.

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

Standard routine uses 1. through 7., 10., and 11. apply. In addition;  
 a. Legally required disclosures to agencies for law enforcement purposes include disclosures of information relating to money orders, funds transfers, and stored-value cards as required by BSA, OFAC and anti-money laundering statutes, regulations and requirements.

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

Automated database, computer storage media, microfiche, and paper.

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

For online payment and funds transfer services, information is retrieved by customer name, customer ID(s), transaction number, or address.

Claim information is retrieved by name of purchaser or payee, claim number, serial number, transaction number, check number, customer ID(s), or ZIP Code.

Information related to BSA, OFAC and AML is retrieved by customer name; SSN; alien registration, passport, or driver's license number; serial number; transaction number; ZIP Code; transaction date; data entry operator number; and employee comments, and individuals that appear on the Specially Designated Nationals and Blocked Persons List (SDNs) as defined and mandated by the OFAC.

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

1. Summary records, including bill due date, bill amount, biller information, biller representation of account number, and the various status indicators, are retained 2 years from the date of processing.

2. For funds transfers, transaction records are retained 3 years.

3. Records related to claims are retained up to 3 years from date of final action on the claim.

4. Forms related to fulfillment of BSA, anti-money laundering requirements are retained for a 5-year and one-month period.

5. Related automated records are retained the same 5-year and one-month period and purged from the system quarterly after the date of creation.

6. Enrollment records related to online payment services are retained 7 years after the subscriber's account

ceases to be active or the service is cancelled.

7. Account banking records, including payment history, Demand Deposit Account (DDA) number, and routing number, are retained 7 years from the date of processing.

8. Online user information may be retained for 6 months.

9. Records existing on paper are destroyed by burning, pulping, or shredding. Records existing on computer storage media are destroyed according to the applicable USPS media sanitization practice.

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

Paper records, computers, and computer storage media are located in controlled-access areas under supervision of program personnel. Access to these areas is limited to authorized personnel, who must be identified with a badge.

Access to records is limited to individuals whose official duties require such access. Contractors and licensees are subject to contract controls and unannounced on-site audits and inspections.

Computers are protected by mechanical locks, card key systems, or other physical access control methods. The use of computer systems is regulated with installed security software, computer logon identifications, and operating system controls including access controls, terminal and transaction logging, and file management software. Online data transmissions are protected by encryption.

**RECORD ACCESS PROCEDURES:**

Requests for access must be made in accordance with the Notification Procedure above and USPS Privacy Act regulations regarding access to records and verification of identity under 39 CFR 266.5.

**CONTESTING RECORD PROCEDURES:**

See Notification Procedure below and Record Access Procedures above.

**NOTIFICATION PROCEDURES:**

For online payment services, funds transfers, and stored-value cards, individuals wanting to know if information about them is maintained in this system must address inquiries in writing to the Chief Marketing Officer and Executive Vice President. Inquiries must contain name, address, and other identifying information, as well as the transaction number for funds transfers.

For money order claims, or BSA, OFAC and anti-money laundering documentation, inquiries should be

addressed to the Chief Financial Officer and Executive Vice President. Inquiries must include name, address, or other identifying information of the purchaser (such as driver's license, Alien Registration Number, Passport Number, etc.), and serial or transaction number. Information collected for anti-money laundering purposes will only be provided in accordance with Federal BSA, OFAC, anti-money laundering laws, regulations and requirements.

**EXEMPTIONS PROMULGATED FOR THE SYSTEM:**

Systems Exempted From Certain Provisions of the Act:

USPS has established regulations at 39 CFR 266.9 that exempt information contained in this system of records from various provisions of the Privacy Act in order to conform to the prohibition in the Bank Secrecy Act, 31 U.S.C. 5318(g)(2), against notification of the individual that a suspicious transaction has been reported.

**HISTORY:**

May 8, 2008, 73 FR 26155; April 29, 2005, 70 FR 22516.

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**Sarah Sullivan,**

*Attorney, Ethics & Legal Compliance.*

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**BILLING CODE P**

**POSTAL SERVICE****Privacy Act of 1974; System of Records**

**AGENCY:** Postal Service®.

**ACTION:** Notice of a modified system of records.

**SUMMARY:** The United States Postal Service® (USPS®) proposes revising a General Privacy Act System of Records (SOR). These updates are being made to support the implementation of quick customer experience surveys to be conducted at the end of retail Post Office customer visits.

**DATES:** These revisions will become effective without further notice on February 3, 2023 unless responses to comments received on or before that date result in a contrary determination.

**ADDRESSES:** Comments may be submitted via email to the Privacy and Records Management Office, United States Postal Service Headquarters ([uspsprivacyfedregnotice@usps.gov](mailto:uspsprivacyfedregnotice@usps.gov)). To facilitate public inspection, arrangements to view copies of any written comments received will be made upon request.

**FOR FURTHER INFORMATION CONTACT:** Janine Castorina, Chief Privacy and

Records Management Officer, Privacy and Records Management Office, at 202-268-3069 or ([uspsprivacyfedregnotice@usps.gov](mailto:uspsprivacyfedregnotice@usps.gov)).

**SUPPLEMENTARY INFORMATION:** This notice is in accordance with the Privacy Act requirement that agencies publish their systems of records in the **Federal Register** when there is a revision, change, or addition, or when the agency establishes a new system of records. The Postal Service has determined that General Privacy Act SOR, USPS 100.600 Personnel Research Records, should be revised to support the implementation of quick customer experience surveys conducted at retail Post Office locations.

### I. Background

The Retail Experience team at USPS Headquarters is sponsoring the implementation of quick customer experience surveys administered on customer display units (CDUs) in retail Post Office locations. The anonymous customer survey will consist of one question that will be presented to the customer immediately after the retail customer visit is completed. Participation by the customer in the survey is voluntary, and a set of four to five questions will be rotated randomly across transactions and displayed to the customer at the end of their retail visit.

Upon completion, the anonymous customer survey will create a record in the response file that links employee information and the retail customer visit to the quick customer experience survey results. The employee information captured that is associated with the survey is the Employee Identification Number (EIN) of the employee who performed the transaction during the customer visit.

### II. Rationale for Changes to USPS Privacy Act Systems of Records

The Postal Service is proposing to modify USPS SOR 100.600 Personnel Research Records to support the implementation of quick customer experience surveys conducted in retail Post Office locations that link the Employee Identification Number (EIN) of the employee who performed the customer transaction during the Post Office visit to anonymous customer survey responses.

The Postal Service is proposing the following modifications to USPS SOR 100.600 Personnel Research Records in the summary of changes listed below.

- Added one new Purpose—#4
- Modified Categories of Individuals #1 to include “USPS employees”
- Added one new Retention Period—#3

### III. Description of the Modified System of Records

Pursuant to 5 U.S.C. 552a(e)(11), interested persons are invited to submit written data, views, or arguments on this proposal. A report of the proposed revisions has been sent to Congress and to the Office of Management and Budget for their evaluations. The Postal Service does not expect this amended system of record to have any adverse effect on individual privacy rights. USPS SOR 100.600 Personnel Research Records is provided below in its entirety.

#### SYSTEM NAME AND NUMBER:

USPS 100.600 Personnel Research Records.

#### SECURITY CLASSIFICATION:

None.

#### SYSTEM LOCATION:

USPS Headquarters, Integrated Business Solutions Services Centers, and contractor sites.

#### SYSTEM MANAGER(S):

Vice President, Human Resources, United States Postal Service, 475 L’Enfant Plaza SW, Washington, DC 20260-4135.

#### AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

39 U.S.C. 401, 410, 1001, and 1005.

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

1. To support research and development efforts on personnel assessment instruments, recruitment efforts, workforce analysis, and evaluation of Human Resource management practices.
2. To assess the impact of selection decisions on applicants in race, ethnicity, sex, tenure, age, veteran status, and disability categories.
3. To facilitate and support marketing initiatives, advertising campaigns, brand strategy, strategic customer programs, customer experience with products and services, including call centers, and innovation and product improvement development.
4. To create a record in the survey responses file that links Employee Identification Number (EIN) and retail customer visits to quick customer experience surveys results that are administered on customer display units in retail Post Office locations.

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

1. USPS employees, potential applicants for USPS employment, applicants for USPS employment, USPS employee applicants for reassignment and/or promotion, employees whose work records or solicited responses are

used in research projects, and former USPS employees.

2. Employees who voluntarily respond to direct marketing messages, respond to surveys, voluntarily participate in focus groups, interviews, diaries, observational studies, prototype assessments, and A/B comparison tests.

#### CATEGORIES OF RECORDS IN THE SYSTEM:

1. *Applicant, potential applicant with candidate profile, and employee information:* Name, Social Security Number, Candidate Identification Number, Employee Identification Number (EIN) or respondent identification code, place of birth, date of birth, age, postal assignment or vacancy/posting information, work contact information, home address and personal phone number(s), personal email address, finance number(s), title, level, duty location, and pay location.
2. *Personnel research information:* Records related to race, ethnicity, sex, tenure, age, veteran status, and disability status (only if volunteered by the individual); research project identifiers; and other information pertinent to personnel research.
3. *Survey data:* employee perception, feelings, habits, past behaviors, preferences, recommended improvements, experiences with customers, ownership, and hypothetical future scenarios.

#### RECORD SOURCE CATEGORIES:

USPS employees, former employees, applicants, and potential applicants with candidate profiles who provide information to personnel research programs and other systems of records.

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

Standard routine uses 1 through 9 apply.

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

Automated database, computer storage media, digital files, and paper files.

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

By individual name, Social Security Number, Candidate Identification Number, Employee Identification Number, personal email address, respondent identification code, research project identifiers, postal assignment or vacancy/posting information, duty or pay location, or location where data were collected.

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

1. Retention depends on the type of research project but does not exceed 10 years.
2. Data retained for surveys conducted by Customer insight, market research and survey records will be retained for 3 years.
3. Records for quick customer experience surveys administered on customer display units in Post Office locations will be retained for 3 fiscal years, representing the current fiscal year-to-date, plus the prior 2 fiscal years.

Records existing on paper are destroyed by burning, pulping, or shredding. Records existing on computer storage media are destroyed according to the applicable USPS media sanitization practice.

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

Paper records, computers, and computer storage media are located in controlled-access areas under supervision of program personnel. Access to these areas is limited to authorized personnel, who must be identified with a badge.

Access to records is limited to individuals whose official duties require such access. Contractors and licensees are subject to contract controls and unannounced on-site audits and inspections.

Computers are protected by mechanical locks, card key systems, or other physical access control methods. The use of computer systems is regulated with installed security software, computer log-on identifications, and operating system controls, which includes access controls, terminal and transaction logging, and file management software.

**RECORD ACCESS PROCEDURES:**

Requests for access must be made in accordance with the Notification Procedure below and USPS Privacy Act regulations regarding access to records and verification of identity under 39 CFR 266.5.

**CONTESTING RECORD PROCEDURES:**

See Notification Procedure and Record Access Procedures.

**NOTIFICATION PROCEDURES:**

Individuals wanting to know if information about them is maintained in this system of records must address inquiries to the Vice President, Employee Resource Management, 475 L'Enfant Plaza SW, Washington, DC 20260.

In cases of studies involving information not collected through an examination, individuals must address inquiries to the system manager. Inquiries must contain full name; Candidate Identification Number, Employee Identification Number, or respondent identification code, and subject or purpose of research/survey; and date and location of their participation.

**EXEMPTIONS PROMULGATED FOR THE SYSTEM:**

Pursuant to 5 U.S.C. 552a(j) and (k), USPS has established regulations at 39 CFR 266.9 that exempt records in this system depending on their purpose. The USPS has also claimed exemption from certain provisions of the Act for several of its other systems of records at 39 CFR 266.9. To the extent that copies of exempted records from those other systems are incorporated into this system, the exemptions applicable to the original primary system continue to apply to the incorporated records.

**HISTORY:**

July 5, 2022: 87 FR 39876; July 19, 2013: 78 FR 43247; June 17, 2011: 76 FR 35483; and April 29, 2005: 70 FR 22516.

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**Sarah Sullivan,**

*Attorney, Ethics and Legal Compliance.*

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**BILLING CODE P**

**SECURITIES AND EXCHANGE COMMISSION**

[Release No. 34-96590; File No. SR-NSCC-2022-017]

**Self-Regulatory Organizations; National Securities Clearing Corporation; Notice of Filing and Immediate Effectiveness of a Proposed Rule Change To Make Certain Adjustments in the Fees for NSCC's I&RS Positions and Valuations Service and Certain Clarifications to Addendum A**

December 28, 2022.

Pursuant to Section 19(b)(1) of the Securities Exchange Act of 1934 ("Act"),<sup>1</sup> and Rule 19b-4 thereunder,<sup>2</sup> notice is hereby given that on December 21, 2022, National Securities Clearing Corporation ("NSCC") filed with the Securities and Exchange Commission ("Commission") the proposed rule change as described in Items I, II and III below, which Items have been prepared by the clearing agency. NSCC filed the

proposed rule change pursuant to Section 19(b)(3)(A)<sup>3</sup> of the Act and subparagraph (f)(2)<sup>4</sup> of Rule 19b-4 thereunder. The Commission is publishing this notice to solicit comments on the proposed rule change from interested persons.

**I. Clearing Agency's Statement of the Terms of Substance of the Proposed Rule Change**

The proposed rule change of NSCC consists of modifications to Addendum A (Fee Structure) ("Addendum A") of NSCC's Rules & Procedures ("Rules") in order to make certain adjustments in the fees for the Positions and Valuations service ("Positions") in NSCC's Insurance & Retirement Services ("I&RS") and make certain clarifications to Addendum A, as described below.<sup>5</sup>

**II. Clearing Agency's Statement of the Purpose of, and Statutory Basis for, the Proposed Rule Change**

In its filing with the Commission, the clearing agency included statements concerning the purpose of and basis for the proposed rule change and discussed any comments it received on the proposed rule change. The text of these statements may be examined at the places specified in Item IV below. The clearing agency has prepared summaries, set forth in sections A, B, and C below, of the most significant aspects of such statements.

(A) *Clearing Agency's Statement of the Purpose of, and Statutory Basis for, the Proposed Rule Change*

1. Purpose

Overview of Proposed Rule Change

The purpose of this proposed rule change is to increase the fees for Positions, as described below, in order to align those fees more closely with the costs of providing the products and services to Members and Limited Members that use I&RS (collectively, "I&RS Members"). The fee changes are being made to better align fees with the costs of services provided by NSCC by adjusting the fees so that the revenue received by NSCC would be closer to the costs of providing the services consistent with NSCC's cost-based plus markup fee model.<sup>6</sup> In general, fee

<sup>3</sup> 15 U.S.C. 78s(b)(3)(A).

<sup>4</sup> 17 CFR 240.19b-4(f)(2).

<sup>5</sup> Capitalized terms used herein and not otherwise defined have the meaning assigned to such terms in the Rules, available at [https://dtcc.com/~media/Files/Downloads/legal/rules/nscs\\_rules.pdf](https://dtcc.com/~media/Files/Downloads/legal/rules/nscs_rules.pdf).

<sup>6</sup> NSCC has in place procedures to control costs and to regularly review pricing levels against costs of operation. NSCC's fees are cost-based plus a markup as approved by its Board of Directors or management (pursuant to authority delegated by the

<sup>1</sup> 15 U.S.C. 78s(b)(1).

<sup>2</sup> 17 CFR 240.19b-4.