

#..SEC-40

System name:

Personnel Management Training Files-SEC.

System location:

Securities and Exchange Commission, Operations Center, 6432
General Green Way, Mail Stop O-1, Alexandria, VA 22312-2413.

Categories of individuals covered by the system:

Records are maintained on SEC employees, present and past.

Categories of records in the system:

Both automated and paper records fall within the following categories: (a) Information on internal and external training provided to employees; (b) budget tracking information; (c) training sources used/considered; and (d) class rosters, notices, and certificates.

Authority for maintenance of the system:

5 U.S.C. 1302, 2951, 3301, 3372, 4103, 4113, and 4118; and 5 CFR part 410.

Purpose(s):

The records are used for statistical reports and employee career counseling, for determining whether mandatory training has been received, and for assessing whether the cost, quality, and appropriateness of courses and sources merit consideration for fulfilling future agency training needs.

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

These records and the information contained in these records may be used as follows:

- (1) To provide information to Government training facilities (Federal, State, or local) and to non-Government training facilities (private contractors of training courses or programs, private schools, etc.), their representatives, or volunteers working on a contract, service, grant, or cooperative agreement, for training purposes;
- (2) To respond to inquiries from the White House, Congressional committees, the General Accounting Office, General Services Administration or the National Archives and Records Administration, or others charged with monitoring the work of the Commission or conducting records management inspections under authority of 44 U.S.C. 2904 and 2906;
- (3) To respond to a subpoena, request for discovery, or the appearance of a witness, in connection with any relevant litigation or proceeding where the Commission, or past or present members of its staff, is a party or otherwise involved in an official capacity;
- (4) To provide information to a Federal, State, or local

governmental entity or agency in response to its request, in connection with the potential violation of civil or criminal law or other regulation, the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter; and

- (5) To any source from which additional information is requested, when necessary to obtain information relevant to an agency decision to hire or retain an employee, issue a security clearance, conduct a security or suitability investigation of an individual, classify jobs, let a contract, or issue a license, grant, or other benefits.

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

Storage:

Electronic media is maintained in a database, paper records are kept in binders and folders.

Retrievability:

Records are retrievable by employee name, social security number, organization, and the assigned training form number; vendor name; instructor name; category of training; date(s) of training; and course title and location.

Safeguards:

Records are available to authorized agency staff. Both paper and electronic media are kept in a secure facility with 24 hour security guard surveillance. Personnel access to the database records is restricted by passwords.

Retention and disposal:

Records are retained for three (3) fiscal years and destroyed after completion of any applicable reporting requirements by the Office of Personnel Management.

System manager(s) and address:

Associate Executive Director, Office of Administrative and Personnel Management, Securities and Exchange Commission, Operations Center, 6432 General Green Way, Mail Stop O-1, Alexandria, VA 22312-2413.

Notification procedure:

All requests to determine whether this system of records contains a record pertaining to the requesting individual may be directed to the Privacy Act Officer, Securities and Exchange Commission, Operations Center, 6432 General Green Way, Mail Stop O-5, Alexandria, VA 22312-2413.

Record access procedures:

Persons wishing to obtain information on the procedures for gaining access to or contesting the contents of these records may contact the Privacy Act Officer, Securities and Exchange Commission, Operations Center, 6432 General Green Way, Mail Stop O-5, Alexandria,

VA 22312-2413.

Contesting record procedures:

See Record Access procedures above.

Record source categories:

Records that comprise the information in the system are provided by: The individual on whom the record is maintained; agency supervisors and/or administrative staff on employees being nominated for training; vendors or potential vendor sources for training; and other agency records.

Exemptions claimed for the system:

None.