

SYSTEM NAME AND NUMBER:

SEC-20: Facilities Access Badge System

SECURITY CLASSIFICATION:

Unclassified.

SYSTEM LOCATION: Securities and Exchange Commission, Office of Security Services, Office of Support Operations, 100 F Street, NE, Washington, DC 20549

SYSTEM MANAGER(S): Branch Chief of Physical Security and Emergency Management, Office of Security Services, Office of Support Operations, Securities and Exchange Commission, 100 F Street, NE, Washington, DC 20549.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM: 5 U.S.C. 301 and Executive Order 13231 of October 16, 2001 on Critical Infrastructure Protection ; the Federal Property and Administrative Services Act of 1949, 40 U.S.C. 101 et seq.; Homeland Security Presidential Directive 12 (HSPD-12), Policy for a Common Identification Standard for Federal Employees and Contractors, August 27, 2004. NIST Special Publication 800-122, Guide to Protecting the Confidentiality of Personally Identifiable Information (PII), April 2010; The Privacy Act of 1974, 5 U.S.C. 552a; Securities and Exchange Commission Administrative Regulation, Privacy Policy And Compliance, December 2017.

PURPOSE(S) OF THE SYSTEM:

This system is used to employ access control enforcement, for physical and operational security to identify authorized personnel, and allows permitted guests unescorted access to Commission facilities. Records are for physical and operational security and can only be used

for purposes compatible with the purpose for which it was collected as cited in the Privacy Act of 1974, 5 U.S.C. 552(a)7.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM: This system is used for commission employees, contractors, volunteers, tenants, interns, consultants, and employees of other Federal agencies on occasion, who require access to Commission facilities for extended periods of time.

CATEGORIES OF RECORDS IN THE SYSTEM: The Facilities Access Badge System records include the Government Personal Identity Verification (PIV) Card. PIV card records include the following information: name, type of access, employee affiliation, expiration date and credential serial number.

Headquarters and Regional Office Access Card records contain the following: (name, type of access, and the date of expiration).

RECORD SOURCE CATEGORIES:

The record source is the issuing official or person issued the badge.

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

In addition to those disclosures generally permitted under 5 U.S.C. 552a(b) of the Privacy Act, these records or information contained therein may specifically be disclosed outside the Commission as a routine use pursuant to 5 U.S.C. 552 a(b)(3) as follows:

1. To appropriate agencies, entities, and persons when (1) the SEC suspects or has confirmed that there has been a breach of the system of records; (2) the SEC has determined that as a result of the suspected or confirmed breach there is a risk of harm to individuals, the

SEC (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 the SEC's efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm.

2. To other federal, state, local, or tribal law enforcement agencies; to assist in or coordinate law enforcement activities with the SEC.
3. In any proceeding where the federal securities laws are in issue or in which the Commission, or past or present members of its staff, is a party or otherwise involved in an official capacity.
4. To SEC employees, interns, experts, contractors, and others who have been engaged by the Commission to assist in the performance of a service related to this system of records and who need access to the records for the purpose of assisting the Commission in the efficient administration of its programs, to include performing clerical, technical, or data analysis functions, or by reproduction of records by electronic or other means. Recipients of these records shall be required to comply with the requirements of the Privacy Act of 1974, as amended, 5 U.S.C. 552a.
5. To members of advisory committees that are created by the Commission or by Congress to render advice and recommendations to the Commission or to Congress, to be used solely in connection with their official designated functions.
6. To any person who is or has agreed to be subject to the Commission's Rules of Conduct, 17 CFR 200.735-1 to 200.735-18, and who assists in the investigation by the Commission of possible violations of the federal securities laws (as such term is defined in section

3(a)(47) of the Securities Exchange Act of 1934, 15 U.S.C. 78c(a)(47)), in the preparation or conduct of enforcement actions brought by the Commission for such violations, or otherwise in connection with the Commission's enforcement or regulatory functions under the federal securities laws.

7. To a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual.
8. To respond to subpoenas in any litigation or other proceeding.
9. To the Office of Inspector General or Office of Human Resources for investigative purposes.
10. To another Federal agency or Federal entity, when the SEC 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:

Records are maintained in electronic and paper format. Electronic records are stored in computerized databases, magnetic disc, tape and/or digital media. Paper records and records on computer disc are stored in locked file rooms and/or file cabinets.

POLICIES AND PRACTICES FOR RETRIEVAL OF RECORDS:

Electronic records may be retrieved by the employee's name and identification number.

POLICIES AND PRACTICES FOR RETENTION AND DISPOSAL OF RECORDS:

These records will be maintained until they become inactive, at which time they will be retired or destroyed in accordance with the SEC's records retention schedule, as approved by the National Archives and Records Administration.

ADMINISTRATIVE, TECHNICAL, AND PHYSICAL SAFEGUARDS:

Access to SEC facilities, data centers, and information or information systems is limited to authorized personnel with official duties requiring access. SEC facilities are equipped with security cameras and 24-hour security guard service. The records are kept in limited access areas during duty hours and in locked file cabinets and/or locked offices or file rooms at all other times. Computerized records are safeguarded in a secured environment. Security protocols meet the promulgating guidance as established by the National Institute of Standards and Technology (NIST) Security Standards from Access Control to Data Encryption and Security Assessment & Authorization (SA&A). Records are maintained in a secure, password-protected electronic system that will utilize commensurate safeguards that may include: guards, alarms, and monitored physical access points to the facility where information systems reside 24 hours per day, 7 days per week, firewalls, intrusion detection and prevention systems, and role-based access controls. Additional safeguards will vary by program. All records are protected from unauthorized access through appropriate administrative, operational, and technical safeguards. These safeguards include: restricting access to authorized personnel who have a "need to know"; using locks; and password protection identification features. Contractors and other recipients providing services to the Commission shall be required to maintain equivalent safeguards.

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 FOIA/PA Officer, Securities and Exchange Commission, 100 F Street, NE, Washington, DC 20549.

CONTESTING RECORD PROCEDURES:

See record access procedures above.

NOTIFICATION PROCEDURES:

All requests to determine whether this system of records contains a record pertaining to the requesting individual may be directed to the FOIA/PA Officer, Securities and Exchange Commission, 100 F Street, NE, Washington, DC 20549.

EXEMPTIONS PROMULGATED FOR THE SYSTEM:

None.

HISTORY:

This SORN was last published in full in the Federal Register at 63 FR 37423 (July 10, 1998). Subsequent notices of revision can be found at the following citations:

- 72 FR 2036 (January 17, 2007)