

#..SEC-51

**System name:**

Emergency Contingency Plan System.

**System Location:**

SEC, 450 Fifth Street, NW., Washington, DC 20549.

**Categories of Individuals Covered by the System:**

Members and employees of the Commission.

**Categories of Records in the System:**

Name; job title; organizational code number; work and home addresses; work and personal electronic mail addresses; work, home, and cellular telephone numbers; pager numbers.

**Authority for Maintenance of the System:**

5 U.S.C. 301, Executive Order 12656 (Nov. 18, 1988), Assignment of Emergency Preparedness Responsibilities.

**Purpose(s):**

The purpose of this system of records is to maintain emergency contact information for current members and employees of the Commission for use in developing and maintaining emergency contingency operations plans, such as a formal continuity of operations (COOP) plan, for the Commission. This data will be used for alert and notification purposes, determining team and task assignments, developing and maintaining an emergency contact system for general emergency preparedness programs and specific situations. COOP activities involve ensuring the continuity of minimum essential agency functions through plans and procedures governing succession to office and the emergency delegation of authority (where permissible). Other emergency contingency plans include plans for Commission wide response to threat alerts issued by the Department of Homeland Security (DHS).

**Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses:**

In addition to the conditions of disclosure under 5 U.S.C. 552a(b), Commission staff may provide these records to any Federal government authority for the purpose of coordinating and reviewing agency continuity of operations plans or emergency contingency plans developed for responding to Department of Homeland Security threat alerts.

**Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System:**

**Storage:**

These records are maintained on paper and in electronic format.

**Retrievability:**

These records are retrievable by individual's names, or by the categories listed above under "Categories of Records in the System."

**Safeguards:**

Access to the records is restricted to those who require the records in the performance of official duties related to the purposes for which the system is maintained.

**Retention and Disposal:**

Periodic purging and disposal of those records concerning individuals no longer members or employees of the Commission. Otherwise, records are retained and disposed of in accordance with the appropriate National Archives and Records Administration General Records Schedules.

**System Manager(s) and Address:**

Executive Director, Office of the Executive Director, Securities and Exchange Commission, 450 Fifth Street, NW., Washington, DC 20549 1101.

**Notification Procedure:**

Requests to determine whether this system of records contains a record pertaining to the requesting individual should be sent to the Privacy Act Officer, SEC, Operations Center, 6432 General Green Way, Alexandria, VA 223122413.

**Records Access Procedures:**

Persons wishing to access or contest these records should write the Privacy Act Officer, SEC, Operations Center, 6432 General Green Way, Alexandria, VA 223122413.

**Contesting Record Procedures:**

See Records Access Procedures, above.

**Record Source Categories:**

Records are obtained from the position control system and from the individual.

**Exemptions Claimed for the System:**

None.

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