

OPM/Central-13, Executive Personnel Records

64 FR 60247 (11/4/1999), Prefatory Statement of Routine Uses, 87 FR 5874 (2/2/2022)

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SYSTEM LOCATION:

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

SYSTEM MANAGER(S):

Director, Office of Executive Resources Management, Office of Personnel Management, 1900 E Street NW, Washington, DC 20415-0001.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Current and former appointees in the Senior Executive Service; current and former incumbents of Executive Schedule, Scientific and Professional research and development, Senior Level, Board of Contract Appeals, and similar positions; former incumbents of General Schedule 16-18 positions; and participants in and graduates of OPM-approved agency Senior Executive candidate development programs.

CATEGORIES OF RECORDS IN THE SYSTEM:

These records include:

- a. Demographic, appointment, and assignment information (e.g., name, office address, date of birth, Social Security Number, sex, race and ethnic designation, titles of positions, pay rates, and types of appointments).
- b. Background data on work experience, educational experience, publications or awards (includes performance ratings and any performance, rank, or incentive awards received), and career interests.
- c. Determinations on nominees for Meritorious and Distinguished Presidential Rank awards.
- d. Determinations concerning executive (managerial) qualifications (i.e., Qualification Review Board records).
- e. Information on performance of executives (e.g., performance ratings, performance awards, and incentive awards).
- f. Information relating to participants (current and former) in the sabbatical leave program (e.g., dates of participation and reasons for the leave).
- g. Applications from individuals who, within the 90-day period provided for under 5 U.S.C. 3593(b), seek reemployment in the Senior Executive Service.
- h. Information concerning the reason(s) why an individual leaves an executive position (e.g., retired, resigned, to enter private industry, to work for a State government, or removed during probation or after because of performance).
- i. Information about the recruitment of individuals for executive positions (e.g., recruited from another Federal agency or from outside the Federal service).

Note: Automated and manual duplicates of records in this system, maintained by agencies for purposes of actual administration of the SES, along with other records agencies have on Federal executives, are not considered part of this system. Such records are considered general personnel records and are covered by the OPM/GOVT-1, General Personnel Records system.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Includes the following with any revisions and amendments: 5 U.S.C. 2101 through 2103; 3104; 3131 through 3134; 3136; 3324; 3325; 3391 through 3397; 3591 through 3596; 4311 through 4315; 4507; 5108; 5381 through 5385; 5752 through 5754; and 7541 through 7543.

PURPOSE(S) OF THE SYSTEM:

The records are used to:

- a. Assist OPM in carrying out its responsibilities under title 5, U.S. Code, and OPM rules and regulations promulgated thereunder, including the allocation and establishment of SES, Senior Level, and Scientific and Professional research and development positions, development of qualification standards for SES positions, establishment and operation of one or more qualifications review boards, establishment of programs to develop candidates for and incumbents of executive positions, and development of performance appraisal systems.
- b. Pursuant to section 415 of the Civil Service Reform Act, assist OPM in meeting its mandate to evaluate the effectiveness of the SES and the manner in which the Service is administered.
- c. Provide data used in policy formulation, program planning and administration, research studies, and required reports regarding the Government-wide executive program.
- d. Locate specified groups of individuals for personnel research (while protecting their individual privacy). Race and ethnic data and performance ratings are collected for statistical use only.

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

Routine uses 1 through 5, and 7 through 11, of the Prefatory Statement at the beginning of OPM's system notices (60 FR 63075, effective January 17, 1996) apply to the records maintained within this system. The routine uses listed below are specific to this system of records only:

- a. To identify and refer qualified current or former Federal employees to Federal agencies for executive vacancies.
- b. To refer qualified current or former Federal employees or retirees to State and local governments and international organizations for employment considerations.
- c. To provide an employing agency with extracts from the records of that agency's employees in the system.
- d. By OPM to locate individuals for personnel research or survey response and in the production of summary descriptive statistics and analytical studies in support of the functions for which the records are collected and maintained, or for related work force studies. While published studies do not contain individual identifiers, in some instances the selection of elements of data included in the study may be structured in such a way as to make the data individually identifiable by inference.
- e. To disclose information to any member of an agency's Performance Review Board or other board or panel (e.g., one convened to select or review nominees for awards of merit pay increases), when the member is not an official of the employing agency; information would then be used for the purposes of approving or recommending selection of candidates for executive development programs, issuing a performance appraisal rating, issuing performance awards, nominating for Meritorious and Distinguished Executive ranks, and removal, reduction-in-grade, and other personnel actions based on performance.
- f. To provide information to the White House on executives with noncareer appointments in the Senior Executive Service, in positions formerly in the General Schedule filled by noncareer executive assignments, in excepted positions paid at Executive Schedule pay rates, and in

positions in the Senior Level pay system or other pay systems equivalent to those described which are filled by Presidential appointment or excepted from the competitive service because they are of a confidential or policy-determining character.

- 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:

Records are maintained in hardcopy, magnetic media, and microfiche.

POLICIES AND PRACTICES FOR RETRIEVAL OF RECORDS:

Records are retrieved by the name and Social Security Number of the individual to whom they pertain.

ADMINISTRATIVE, TECHNICAL, AND PHYSICAL SAFEGUARDS:

Manual records are maintained in lockable metal filing cabinets or in secured rooms with access limited to those whose official duties require access. Access to computerized records is limited to those whose official duties require access. Access to race and ethnic data is restricted to specially designated OPM personnel.

POLICIES AND PRACTICES FOR RETENTION AND DISPOSAL OF RECORDS:

Records are retained for varying lengths of time, in accordance with disposition schedules approved by NARA. Disposal of manual records is by shredding or burning, electronic databases are erased.

NOTIFICATION PROCEDURES:

Individuals wishing to inquire whether this system or records contains information about them should contact the system manager.

Individuals must furnish the following information for their records to be located and identified:

- a. Full name.
- b. Social Security Number.
- c. Address where employed.

RECORD ACCESS PROCEDURES:

Individuals wishing to request access to records about themselves should contact the system manager. Individuals must furnish the following information for their records to be located and identified:

- a. Full name.

- b. Social Security Number.
- c. Address where employed.

An individual 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:

Individuals wishing to request amendment of their records should contact the system manager. Individuals must furnish the following information for their records to be located and identified:

- a. Full name.
- b. Social Security Number.
- c. Address where employed.

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 named in the record.
- b. His or her employing agency.
- c. Official documents of OPM.