

OPM/Central-4, Inspector General Investigations Case Files

58 FR 19154 (04/12/1993), 60 FR 63075 (12/08/1995), Prefatory Statement of Routine Uses, 87 FR 5874 (2/2/2022)

This unofficial consolidation of OPM/Central-4 is from the U.S. Office of Personnel Management Privacy Website at <https://www.opm.gov/privacy>.

SYSTEM LOCATION:

Office of the Inspector General, Office of Personnel Management, 1900 E Street NW, Washington, DC 20415.

SYSTEM MANAGER(S):

Inspector General, Office of Personnel Management, 1900 E Street NW, Washington, DC 20415.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Current and former OPM employees, certain current and former employees of other Federal agencies, annuitants, and contractors with OPM.

CATEGORIES OF RECORDS IN THE SYSTEM:

Case files contain individual identifiers such as name, date of birth, Social Security Number, employee number, civil service retirement case file number, and related personal information. Case files are created pertaining to matters including the following:

(1) Fraud against the Government; (2) Theft of Government property; (3) Misuse of Government property; (4) Improper personal conduct; (5) Irregularities in awarding contracts; (6) Improper personnel practices; and (7) Initiatives arising from the President's Council on Integrity and Efficiency.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Includes the following with any revisions or amendments: 5 U.S.C. 301 and Pub. L. 100-504.

PURPOSE(S) OF THE SYSTEM:

Information in case files serves to document the outcome of investigations, reporting the results of investigations to other OPM components or agencies for their use in evaluating their programs and imposition of any civil or administrative sanctions, and, if appropriate, reporting the results of the investigations to other agencies for any action deemed appropriate, and for retaining sufficient information to fulfill the reporting requirements of Pub. L. 95-452, section 5.

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

Routine uses 1, 3 through 5, and 7 through 10, of the Prefatory Statement at the beginning of OPM's system notices apply to the records maintained within this system. The routine uses listed below are specific to this system of records only:

- a. To designated officers and employees of agencies, offices, and other establishments in the executive, legislative, and judicial branches of the Federal Government having an interest in the individual for employment purposes, including a security clearance or access determination, and the need to evaluate qualifications, suitability, and loyalty to the United States Government.
- b. To designated officers and employees of agencies, offices, and judicial branches of the Federal Government when such agency, office, or establishment conducts an investigation of the

individual for granting a security clearance, or for making a determination of qualifications, suitability, or loyalty to the United States Government, or access to classified information or restricted areas.

- c. To any source from which information is requested in the course of an investigation, to the extent necessary to identify the individual, inform the source of the nature and purpose of the investigation, and to identify the type of information requested.
- d. To the Office of Management and Budget at any stage in the legislative coordination and clearance process in connection with private relief legislation as set forth in OMB Circular No. A-19.
- 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 file folders, on index cards, on microfilm, or disks.

POLICIES AND PRACTICES FOR RETRIEVAL OF RECORDS:

Records are retrieved by the name, date of birth, Social Security Number, employee number, case file number, or other unique identifying number, or by a combination of such identifiers.

ADMINISTRATIVE, TECHNICAL, AND PHYSICAL SAFEGUARDS:

Records are maintained in file cabinets secured by combination locks, secured microfilm storage cabinets, and in computers with access limited to only certain employees through the use of individual identifiers and passwords.

POLICIES AND PRACTICES FOR RETENTION AND DISPOSAL OF RECORDS:

Case files are retained while the person is under investigation and for 10 years after final disposition of the case or any litigation of the matter is completed.

NOTIFICATION PROCEDURES:

Individuals wishing to learn whether this system contains information about them should contact the system manager. So that the record can be located and identified, the requester must furnish the following information:

- a. Full name.
- b. Date of birth and Social Security Number.
- c. Signature.
- d. Any additional information (e.g., type of investigation conducted, employee number or annuitant CSR number) that the requester believes might be helpful.

RECORD ACCESS PROCEDURES:

Specific records in this system have been exempted from Privacy Act provisions at 5 U.S.C. 552a(c)(3) and (d) regarding access to records. The section of this notice titled Systems Exempted from Certain Provisions of the Act indicates the kinds of records exempted. Individuals wishing to request access to any records pertaining to them should contact the system manager. Requesters must furnish the following information for their records to be located and identified:

- a. Full name.
- b. Date of birth and Social Security Number.
- c. Signature.
- d. Any additional information (e.g., type of investigation conducted, employee number or annuitant CSR number) that the requester believes may be helpful.

Individuals requesting access must also comply with OPM's Privacy Act regulations regarding verification of identity and access to records (5 CFR part 297).

CONTESTING RECORD PROCEDURES:

Specific records in this system have been exempted from the Privacy Act provisions at 5 U.S.C. 552a(d) regarding amendment of records. The section of this notice titled Systems Exempted from Certain Provisions of the Act indicates the kinds of records exempted. Individuals seeking to amend their records should contact the system manager. Requesters must furnish the following information for their records to be located and identified:

- a. Full name.
- b. Date of birth and Social Security Number.
- c. Signature.
- d. Any additional information (e.g., type of investigation conducted, or employee number or annuitant CSR number) that the requester believes may be helpful.

Individuals requesting amendment must also comply with OPM's Privacy Act regulations regarding verification of identity and amendment of records (5 CFR part 297).

RECORD SOURCE CATEGORIES:

Information in this system is obtained from:

- a. The individual who is the subject of the case file.
- b. The individual's supervisor and co-workers.
- c. Other Federal and non-Federal sources who have information relevant to the case.
- d. Official records of OPM or another Federal agency.
- e. Non-Government record sources.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

OPM has claimed exemptions from the access (including access to an accounting of disclosure) and amendment provisions of the Privacy Act (5 U.S.C. 552a(c)(3) and (d)) for several of its other systems of records under 5 U.S.C. 552a(k)(1), (2), (3), (4), (5), (6), and (7).

During the course of developing a case file covered under this system, copies of the exempt records from these other systems may become part of the file. To the extent that this occurs, OPM has claimed the same exemptions for these copies as they have for the original documents. Additionally, information within the scope of these exemptions may be developed by the Inspector General's staff during an investigation. These same exemptions are claimed for this developed information when the information is—

- a. Properly classified information, obtained from another Federal agency during the course of an investigation which pertains to national defense and foreign policy. 5 U.S.C. 552a(k)(1) permits an agency to exempt such material from certain provisions of the Act.
- b. Investigatory material compiled for law enforcement purposes in connection with the administration of the merit system. 5 U.S.C. 552a(k)(2) permits an agency to exempt such material from certain provisions of the Act.
- c. Investigatory material maintained in connection with providing protective services to the President of the United States or other individuals pursuant to section 3056 of title 18. 5 U.S.C. 552a(k)(3) permits an agency to exempt such material from certain provisions of the Act.
- d. Investigatory material that is required by statute to be maintained and used solely as a statistical record. 5 U.S.C. 552a(k)(4) permits an agency to exempt such material from certain provisions of the Act.
- e. Investigatory material compiled solely for the purpose of determining suitability, eligibility, or qualifications for Federal civil service employment. 5 U.S.C. 552a(k)(5) permits an agency to exempt such material from certain provisions of the Act. Materials may be exempted to the extent that release of the material to the individual whom the information is about would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence, or, prior to September 27, 1975, furnished information to the Government under an implied promise that the identity of the source would be held in confidence.
- f. Testing and examination materials, compiled during the course of a personnel investigation, that are used solely to determine individual qualifications for appointment or promotion in the Federal service. 5 U.S.C. 552a(k)(6) permits an agency to exempt all such testing or examination material and information from certain provisions of the Act, when disclosure of the material would compromise the objectivity or fairness of the testing or examination process.
- g. Evaluation materials, compiled during the course of a personnel investigation, that are used solely to determine potential for promotion in the armed services. 5 U.S.C. 552a(k)(7) permits an agency to exempt such evaluation material to the extent that the disclosure of the data would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence, or, prior to September 27, 1975, under an implied promise that the identity of the source would be held in confidence.