

Department of the Army

SYSTEM NAME AND NUMBER: Exchange Official Personnel Folders, AAFES 0401.04

SECURITY CLASSIFICATION: Unclassified.

SYSTEM LOCATION: The Official Personnel Folder is kept electronically on servers located at Headquarters, Army and Air Force Exchange Service, 3911 S. Walton Walker Boulevard, Dallas, TX 75236-1598; National Personnel Records Center (NPRC), 1411 Boulevard, Valmeyer, IL 62295; Army and Air Force Exchange Service-Europe Region, Building Sembach Kaserne Geb 201, 67681 Sembach, Heuberg, Germany; Exchange Regions and Area Exchanges at posts, bases, and satellites world-wide. Official mailing addresses are published as an appendix to the Army's compilation of systems of records notices.

SYSTEM MANAGER(S): Director/Chief Executive Officer, Army and Air Force Exchange Service (Exchange), 3911 S. Walton Walker Blvd., Dallas, TX 75236-1598.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM: 10 U.S.C. 3013, Secretary of the Army; 10 U.S.C. 8013, Secretary of the Air Force; Army Regulation 215-8/AFI 34-211(I), Army and Air Force Exchange Service Operations; and E.O. 9397 (SSN), as amended.

PURPOSE FOR THE SYSTEM: The Official Personnel Folder is the repository of documentation of the history and status of an individual's employment relationship with the Exchange. Retained documents include such items as performance evaluations, disciplinary letters and write-ups, employee recognitions, employment applications and resumes, salary, compensation rationale, work history, awards, and training records. This data is used to determine the individual's qualifications, length of service, and eligibility for promotion and/or transfer.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Current and former employees of the Exchange and their dependents.

CATEGORIES OF RECORDS IN THE SYSTEM: Employee's name, Social Security Number (SSN), date of birth, home residence, mailing address, telephone number; records reflecting work experience, educational level achieved; letters of commendation; training courses in which enrolled and certificates of completion; security clearance; personnel actions such as appointments, transfers, reassignments, separations, reprimands; salary and benefits documents to include allowances and insurance data; travel orders; dependent's name, gender, date of birth, eye and hair color, height and weight, SSN, other military identification, and relationship to sponsor.

RECORD SOURCE CATEGORIES: Individual, educational institutions, officials and other individuals of the Exchange such as security and supervisors, third party organizations and individuals responding to reference checks, previous employers, law enforcement organizations, and dependents,

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, as amended, the records contained herein may specifically be disclosed outside the DoD as a routine use pursuant to 5 U.S.C. 552a(b)(3) as follows:

- a. To contractors, grantees, experts, consultants, students, and others performing or working on a contract, service, grant, cooperative agreement, or other assignment for the federal government when necessary to accomplish an agency function related to this system of records.
- b. To designated officers and employees of Federal, State, local, territorial or tribal, international, or foreign agencies maintaining civil, criminal, enforcement, or other pertinent information, such as current licenses, if necessary to obtain information relevant and necessary to a DoD Component decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit.
- c. To designated officers and employees of Federal, State, local territorial or tribal, international, or foreign agencies in connection with the hiring or retention of an employee, the conduct of a suitability or security investigation, 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, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter and the Department deems appropriate.
- d. To a former DoD employee for the purpose of responding to an official inquiry by a Federal, State, local, territorial or tribal entity or professional licensing authority, in accordance with applicable DoD regulations; or for the purpose of facilitating communications with a former employee that may be necessary for personnel-related or other official purposes where the DoD requires information and/or consultation assistance from the former employee regarding a matter within that person's former area of responsibility.
- e. To foreign or international law enforcement, security, or investigatory authorities to comply with requirements imposed by, or to claim rights conferred in, international agreements and arrangements, including those regulating the stationing and status in foreign countries of DoD military and civilian personnel.
- f. To unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. §§711 AND 7114, The Merit Systems Protection Board,

arbitrators, the Federal Labor Relations Authority, and other parties responsible for the administration of the Federal labor-management program for the purpose of processing any corrective actions or grievances, or conducting administrative hearings or appeals.

- g. To the Merit Systems Protection Board and the Office of the Special Counsel for the purpose of litigation, including administrative proceedings, appeals, special studies of the civil service and other merit systems; review of Office of Personnel Management or component rules and regulations; investigation of alleged or possible prohibited personnel practices, including administrative proceedings involving any individual subject of a DoD Investigation.
- h. To the Office of Personnel Management (OPM) for the purpose of addressing civilian pay and leave, benefits, retirement deduction, and any other information necessary for the OPM to carry out its legally authorized government-wide personnel management functions and studies.
- i. To State and local taxing authorities with which the Secretary of the Treasury has entered into agreements under 5 U.S.C. §§5516, 5517, or 5520 and only to those state and local taxing authorities for which an employee or military member is or was subject to tax, regardless of whether tax is or was withheld, The information to be disclosed is information normally contained in Internal Revenue Service (IRS) Form W-2.
- j. To appropriate Federal, State, local, territorial, tribal, foreign, or international agencies for the purpose of counterintelligence activities authorized by U.S. law or Executive Order, or for the purpose of executing or enforcing laws designed to protect the national security or homeland security of the United States, including those relating to the sharing of records or information concerning terrorism, homeland security, or law enforcement.
- k. To any person, organization or government entity (e.g., local governments, first responders, American Red Cross, etc.), in order to notify them of or respond to a serious and imminent terrorist or homeland security threat or natural or manmade disaster as is necessary and relevant for the purpose of guarding against or responding to such threat or disaster.
- l. To the appropriate Federal, State, local, territorial, tribal, foreign, or international law enforcement authority or other appropriate entity where a record, either alone or in conjunction with other information, indicates a violation or potential violation of law, whether criminal, civil, or regulatory in nature.
- m. To any component of the Department of Justice for the purpose of representing the DoD, or its components, officers, employees, or members in pending or potential litigation to which the record is pertinent.

- n. In an appropriate proceeding before a court, grand jury, or administrative or adjudicative body or official, when the DoD or other Agency representing the DoD determines that the records are relevant and necessary to the proceeding; or in an appropriate proceeding before an administrative or adjudicative body when the adjudicator determines the records to be relevant to the proceeding.
- o. To the National Archives and Records Administration for the purpose of records management inspections conducted under the authority of 44 U.S.C. §§ 2904 and 2906.
- p. To a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of, and at the request of, the individual who is the subject of the record.
- q. To appropriate agencies, entities, and persons when (1) the DoD suspects or has confirmed that there has been a breach of the system of records; (2) the DoD has determined that as a result of the suspected or confirmed breach there is a risk of harm to individuals, the DoD (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 DoD's efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm.
- r. To another Federal agency or Federal entity, when the DoD 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 paper and electronic storage media, in accordance with the safeguards mentioned below.

POLICIES AND PRACTICES FOR RETRIEVAL OF RECORDS: The records are retrieved by employee's full name or full SSN.

POLICIES AND PRACTICES FOR RETENTION AND DISPOSAL OF RECORDS: System records are retained and disposed of according to both the National Archives and Records Administration (NARA) codified in 36 Code of Federal Regulations (CFR), Chapter XII, Subchapter B and the General Services Administration (GSA) regulations codified in 41 CFR Parts 201-2, 201-22 and 201-45. Disposition of electronic files pending until the National Archives and Records Administration has approved the retention and disposition schedule, treat as permanent. Hard copy files, upon separation of employee, are temporarily held for 30 days and then sent to the Exchange, HR Support Center at 3911. S. Walton Walker Blvd, Dallas, TX 75236 and destroyed 65 years after separation from Federal Service.

Hard copy folders for aliens, foreign nationals or local nationals employed outside the U.S. are held temporary and destroyed five years after the end of the fiscal year of separation of employment. Longer retention may be required, if host government agreements require longer retention, or if OPFs are used to certify federal employment for admitting refugees into the United States. In such cases, OPFs will be offered to the Department of State at the end of the retention period.

ADMINISTRATIVE, PHYSICAL, AND TECHNICAL SAFEGUARDS: Records are maintained in secured, limited access, and monitored areas. Physical entry restrictions enforced by locks and guards protects access to the information. Only authorized personnel with an official “need to know” who are responsible for servicing the record in performance of their official duties may access the records. Access to computerized data is role-based and further restricted by passwords, which are changed periodically. Integrity of automated data is ensured by internal audit procedures, database access accounting reports and controls to preclude unauthorized disclosure.

RECORD ACCESS PROCEDURES: Individuals seeking access to information about themselves contained in this system of records should address written requests to the Exchange Office of General Counsel, Compliance Division, 3911 S. Walton Walker Blvd., Dallas, TX 75236-1598.

Signed written requests should include the individual’s full name, telephone number, street address, e-mail address, and name and number if this system of records notice.

In addition, the requester must provide either a notarized statement or a declaration made in accordance with 28 U.S.C. 1746, using the following format:

If executed outside the United States: “I declare (or certify, verify, or state) under penalty of perjury under the laws of the United States of America that the foregoing is true and correct.

Executed on (date). (Signature).”

If executed within the United States, its territories, possessions, or commonwealths: “I declare (or certify, verify, or state) under penalty that the foregoing is true and correct.

Executed on (date). (Signature).”

CONTESTING RECORD PROCEDURES: The Army’s rules for accessing records, and for contesting contents and appealing initial agency determinations are contained in Army Regulation 340-21; 32 CFR part 505; or may be obtained from the system manager.

NOTIFICATION PROCEDURES: Individuals seeking to determine if information about themselves is contained in this system should address written inquires to the Army and Air Force Exchange Service, Office of General Counsel; Attn: Compliance Division, 3911 S. Walton Walker Blvd., Dallas, TX 75236.

Signed, written requests should contain the individual's full name, telephone number, street address, e-mail address, and name and number of this system of records notice.

In addition, the requester must provide either a notarized statement or an unsworn declaration made in accordance with 28 U.S.C. 1746, in the following format:

If executed outside the United States: "I declare (or certify, verify, or state) under penalty of perjury under the laws of the United States of America that the foregoing is true and correct.

Executed on (date). (Signature)."

If executed within the United States, its territories, possessions, or commonwealths: "I declare (or certify, verify, or state) under penalty of perjury that the foregoing is true and correct.

Executed on (date). (Signature)."

EXEMPTIONS PROMULGATED FOR THE SYSTEM: None

HISTORY: 61 FR 41573, August 9, 1996.